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## RESOLUTION

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AUTHORIZING THE MAYOR OR THE MAYOR'S DESIGNEE TO ENTER INTO AN INTERGOVERNMENTAL AGREEMENT WITH THE UNITED STATES DEPARTMENT OF LABOR TO IMPLEMENT THE SERVING YOUNG ADULT EX-OFFENDERS THROUGH TRAINING AND SERVICE-LEARNING PROJECT (TSL)

WHEREAS, Chapter 1, Article 8, Revised Ordinances of Honolulu 1990, requires that intergovernmental agreements by the City with any other governmental or quasi-governmental agency shall first be presented to the City Council for its review and approval; and

WHEREAS, the USDOL announced the availability of funds through its Solicitation for Grant Applications (SGA) for TSL grants pursuant, to a Notice of Availability of Funds, dated February 16, 2012, a copy of which is attached hereto as Exhibit A, to its intergovernmental agreement; and

WHEREAS, since the USDOL does not require the use of City funds to implement a TSL Project, the Department of Community Services (DCS), for the City and County of Honolulu, anticipated that if awarded a grant, it would submit the intergovernmental agreement for the grant to the City Council for approval via letter, pursuant to ROH section 1-8.2(c); and

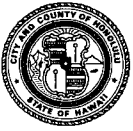
WHEREAS, on June 29, 2012, the DCS received an intergovernmental agreement from the USDOL with a start date of July 1, 2012, to implement the TSL Project; and

WHEREAS, based on the grant award to the City, the USDOL considers their intergovernmental agreement to have been executed without a manual signature by the City; and

WHEREAS, DCS deems it appropriate, notwithstanding the USDOL's position to submit the intergovernmental agreement to the City Council for approval; and

WHEREAS, a copy of the USDOL's intergovernmental agreement is attached hereto as Exhibit A; now, therefore,

BE IT RESOLVED by the Council of the City and County of Honolulu, State of Hawaii, that the Mayor, the Director of Community Services or the Director's designee are hereby authorized to enter into an intergovernmental agreement relating to the receipt, use, and administration of said funds, as well as any other incidental agreements in connection therewith, or amendments thereto, as may be reasonably required; and



**CITY COUNCIL**  
CITY AND COUNTY OF HONOLULU  
HONOLULU, HAWAII

No. 12-204

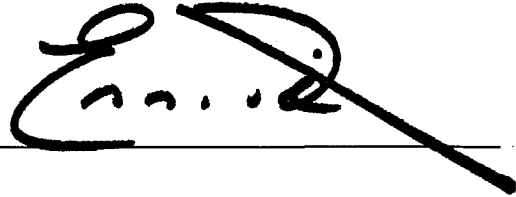
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**RESOLUTION**

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BE IT FINALLY RESOLVED by the Council of the City and County of Honolulu that the Clerk be, and is hereby directed to transmit copies of this Resolution to Samuel E.H. Moku of the Department of Community Services, 715 South King Street, Suite 311, Honolulu, Hawaii, 96813.

INTRODUCED BY:



(br)

DATE INTRODUCTION:

**AUG 09 2012**

Honolulu, Hawaii

Councilmembers

**U.S. DEPARTMENT OF LABOR/ETA/OGCM**

DIVISION OF FEDERAL ASSISTANCE  
200 CONSTITUTION AVENUE NW - ROOM N-4716  
WASHINGTON, D.C. 20210



June 26, 2012

CITY AND COUNTY OF HONOLULU DEPARTMENT OF COMMUNITY SERVICES  
715 SOUTH KING STREET, SUITE 311  
HONOLULU, HAWAII 96813-3021

Dear Samuel Moku:

Enclosed is an executed copy of your recently awarded grant or agreement with the U. S. Department of Labor (DOL), Employment and Training Administration (ETA).

The following provides information on how to access funds via the Payment Management System (PMS), and access to Grantee Reporting System for financial reporting. These systems require two separate password/pins. PMS instructions are in step one and financial reporting is in step two. Please complete both steps.

**1. Payment Management System**

<b>To Create an ETA PMS Account</b>	<p>To establish a PMS account with DOL ETA for the first time, submit the following documents:</p> <ul style="list-style-type: none"><li>- Complete an SF-1199a Direct Deposit Sign-up form</li><li>- Provide the information contained in the ETA Accounting Contact Information document</li></ul> <p>Send both documents via overnight mail to:</p> <p>Van Yung U. S. Department of Labor/ETA OFAM/Office of Comptroller 200 Constitution Avenue, NW N4702 Washington, D.C. 20210 Telephone (202) 693-2936</p> <p>The SF-1199A Direct Deposit Sign-up Form and the ETA Accounting Contact Information document are both available at <a href="http://www.doleta.gov/grants">www.doleta.gov/grants</a> under Payment Information.</p> <p>Allow at least 3 weeks from ETA's receipt of the SF-1199A for access.</p> <p>Direct any inquiries regarding the status of the SF-1199A to (202) 693-3408 or send an e-mail to <a href="mailto:etaaccntg.custserv@dol.gov">etaaccntg.custserv@dol.gov</a>.</p>
<b>For Existing ETA PMS Users</b>	<p>If a PMS account is already established for other ETA grants, send an email to <a href="mailto:Lanisha.White@dol.gov">Lanisha.White@dol.gov</a> or Van Yung, <a href="mailto:Yung.Van@dol.gov">Yung.Van@dol.gov</a> with the following information:</p> <ul style="list-style-type: none"><li>- Grant agreement number</li><li>- Grant award amount</li><li>- PMS account number</li></ul> <p>Once the email is received, the funds awarded under the new grant</p>

agreement will be available under the designated PMS Account in a separate Subaccount within 2-3 business days.



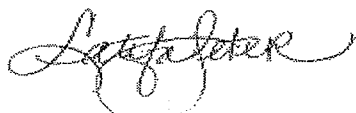
<b>To Designate a Separate Entity as the Fiscal Agent</b>	<p>To designate a separate entity to act as the fiscal agent to access and disburse grant funds, submit the following:</p> <ul style="list-style-type: none"> <li>- A letter from the Authorized Representative of the grant to the ETA contact mentioned above with the Fiscal Agent's name, address and Employer Identification Number</li> <li>- The grantee completes sections A through C on the SF-1199A for the grantee organization. (Banking information is not needed for the grantee)</li> <li>- The grantee must provide the page number in their grant proposal that identifies the fiscal agent or request a grant modification to make this change (subject to Grant Officer review and approval).</li> <li>- The Fiscal Agent completes the entire SF-1199A separate from the grantee's SF-1199A.</li> <li>- The Fiscal Agent provides the information contained in the Payment Management System Access Form.</li> </ul> <p>Once <b>both</b> SF-1199A forms and the Payment Management System Access Form are received and the account has been established in PMS, the primary contact indicated will receive a certified letter from the Payments Management System with drawdown instructions, PMS pin/account number and temporary password.</p> <p>These documents are available at <a href="http://www.doleta.gov/grants">www.doleta.gov/grants</a> under Payment Information.</p> <p>Allow at least three weeks from ETA's receipt of the SF-1199A for access. Direct all inquires for the SF-1199 A to (202) 693-3408 or e-mail <a href="mailto:etaacctg.custserv@dol.gov">etaacctg.custserv@dol.gov</a>.</p>
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2. Financial Status Reporting

<b>Access to Financial Reporting - ETA 9130</b>	<p>Identify two individuals in the organization responsible for financial reporting:</p> <ul style="list-style-type: none"> <li>- The Primary Contact person will certify the accuracy of the report by entering the PIN. The PIN acts as an electronic signature.</li> <li>- The Secondary Contact will enter the reporting data.</li> </ul> <p>Provide the following information to both Shantay Logan <a href="mailto:Logan.Shantay@dol.gov">Logan.Shantay@dol.gov</a> and Avery Malone <a href="mailto:Avery.Malone@dol.gov">Avery.Malone@dol.gov</a>:</p> <ul style="list-style-type: none"> <li>- Grant agreement number</li> <li>- Name &amp; phone number of both individuals</li> <li>- Email address for Primary contact person</li> </ul> <p>The Financial Reporting Access document can be found at <a href="http://www.doleta.gov/grants">www.doleta.gov/grants</a> under Financial Reporting.</p> <p>Only the Primary Contact person will be emailed the password/PIN upon receipt of the required information.</p> <p>Direct inquiries regarding the Password/PIN to Shantay Logan and Avery Malone. Contact your Federal Project Officer for questions on Financial Reporting.</p>
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Lastly, the Federal Project Officer (FPO) assigned to this grant is Richard Morris. Richard Morris will serve as your first line point of contact and can be contacted via phone (202) 693-3603 or e-mail [MORRIS.RICHARD@dol.gov](mailto:MORRIS.RICHARD@dol.gov). If your FPO is not available, please call your Regional Office at 415-625-7900 for assistance.

Grant Officer

A handwritten signature in cursive script, appearing to read "Latifa Jeter".

**LATIFA JETER**

Enclosures

**U.S. DEPARTMENT OF LABOR  
EMPLOYMENT AND TRAINING ADMINISTRATION**

**GRANT / AGREEMENT  
NOTIFICATION OF  
AWARD/OBLIGATION**

Under the authority of the *Workforce Investment Act*, this grant or agreement is entered into between the above named **Grantor Agency** and the following named **Awardee**, for a project entitled - **Serving Young Adult Ex-Offenders through Training and Service-Learning**.

<b>Name &amp; Address of Awardee:</b>	<b>Agreement #:</b>	<b>PE-23307-12-60-A-15</b>
<b>CITY AND COUNTY OF HONOLULU</b>	<b>CFDA #:</b>	<b>17.270</b>
<b>DEPARTMENT OF COMMUNITY SERVICES</b>	<b>Accounting Code:</b>	1630-2012-0501741112BD201201740008115XF007A0000AOWI00AOWI00-A90200-410023-ETA-DEFAULT TASK-
<b>715 SOUTH KING STREET, SUITE 311</b>	<b>Mod Amount:</b>	<b>\$1,500,000.00</b>
<b>HONOLULU, HAWAII 96813-3021</b>	<b>EIN:</b>	<b>996001257</b>
	<b>DUNS #:</b>	<b>794932232</b>

The Period of Performance shall be from **July 01, 2012 thru December 31, 2014**.  
Total Government's Financial Obligation is **\$1,500,000.00** (unless other wise amended).  
Payments will be made under the Payments Management System, and can be automatically drawn down by the awardee on an as needed basis covering a forty-eight (48) hour period.

In performing its responsibilities under this grant agreement, the awardee hereby certifies and assures that it will fully comply with the following regulations and cost principles, including any subsequent amendments:

**Uniform Administrative Requirements:**

29 CFR Part 97, for State/Local Governments and Indian Tribes; OR  
29 CFR Part 95, for Institutions of Higher Education, Hospitals and other Non-Profit Organizations and Commercial Organizations.

**Cost Principles:**

2 CFR 225, for State/Local Governments and Indian Tribes;  
2 CFR 220, for Institutions of Higher Education; OR  
2 CFR 230, for Non-Profit Organizations.  
48 CFR Part 31.

**Other Requirements (As Applicable):**

29 CFR Part 96 and 99, Single Audit Act  
29 CFR Part 93, Lobbying Certification  
29 CFR Part 37, Nondiscrimination and Equal Opportunity Requirements  
29 CFR Part 98, Debarment and Suspension; Drug Free Workplace  
20 CFR Part 652 et al., Workforce Investment Act  
Wagner-Peyser Act  
Grant Award Document, Parts I through IV, and attachments.

The awardee's signature below certifies full compliance with all terms and conditions as well as the above stated grant regulations and certifications, and that this document has not been altered.

Signature of Approving Official - **AWARDEE**

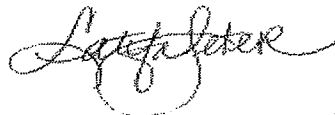
Signature of Approving Official - **DOL / ETA**

**See SF 424 for Signature**

(Signature / Date)

**No Additional Signature Required**

(Type Name and Title)



**LATIFA JETER** June 26, 2012  
Grant Officer

Application for Federal Assistance SF-424

\* 1. Type of Submission:

- ☐ Preapplication  
☒ Application  
☐ Changed/Corrected Application

\* 2. Type of Application:

- ☒ New  
☐ Continuation  
☐ Revision

\* If Revision, select appropriate letter(s):

\* Other (Specify):

\* 3. Date Received:

04/17/2012

4. Applicant Identifier:

5a. Federal Entity Identifier:

5b. Federal Award Identifier:

State Use Only:

6. Date Received by State:

7. State Application Identifier:

8. APPLICANT INFORMATION:

\* a. Legal Name: City and County of Honolulu Department of Community Services

\* b. Employer/Taxpayer Identification Number (EIN/TIN):

996001257

\* c. Organizational DUNS:

7949323220000

d. Address:

\* Street1:

715 South King Street, Suite 311

Street2:

\* City:

Honolulu

County/Parish:

\* State:

HI: Hawaii

Province:

\* Country:

USA: UNITED STATES

\* Zip / Postal Code:

96813-3021

e. Organizational Unit:

Department Name:

Division Name:

f. Name and contact information of person to be contacted on matters involving this application:

Prefix:

\* First Name:

Leinaala

Middle Name:

\* Last Name:

Nakamura

Suffix:

Title:

Organizational Affiliation:

Telephone Number: 808-768-5788

Fax Number:

\* Email: lnakamura@honolulu.gov

**Application for Federal Assistance SF-424**

**\* 9. Type of Applicant 1: Select Applicant Type:**

C: City or Township Government

**Type of Applicant 2: Select Applicant Type:**

**Type of Applicant 3: Select Applicant Type:**

**\* Other (specify):**

**\* 10. Name of Federal Agency:**

Employment and Training Administration

**11. Catalog of Federal Domestic Assistance Number:**

17.270

**CFDA Title:**

Reintegration of Ex-Offenders

**\* 12. Funding Opportunity Number:**

SGA-DFA-PY-11-03

**Title:**

Serving Young Adult Ex-Offenders through Training and Service-Learning

**13. Competition Identification Number:**

**Title:**

**14. Areas Affected by Project (Cities, Counties, States, etc.):**

Add Attachment

Delete Attachment

View Attachment

**\* 15. Descriptive Title of Applicant's Project:**

Honolulu Young Adult Ex-Offender Program

Attach supporting documents as specified in agency instructions.

Add Attachments

Delete Attachments

View Attachments

**Application for Federal Assistance SF-424****16. Congressional Districts Of:**

\* a. Applicant

I &amp; II

b. Program/Project

I &amp; II

Attach an additional list of Program/Project Congressional Districts if needed.

Add Attachment

Delete Attachment

View Attachment

**17. Proposed Project:**

\* a. Start Date: 07/01/2012

\* b. End Date: 12/31/2013

**18. Estimated Funding (\$):**

* a. Federal	1,500,000.00
* b. Applicant	25,000.00
* c. State	0.00
* d. Local	0.00
* e. Other	0.00
* f. Program Income	0.00
* g. TOTAL	1,525,000.00

**\* 19. Is Application Subject to Review By State Under Executive Order 12372 Process?**☐ a. This application was made available to the State under the Executive Order 12372 Process for review on☐ b. Program is subject to E.O. 12372 but has not been selected by the State for review.☒ c. Program is not covered by E.O. 12372.**\* 20. Is the Applicant Delinquent On Any Federal Debt? (If "Yes," provide explanation in attachment.)**☐ Yes ☒ No

If "Yes", provide explanation and attach

Add Attachment

Delete Attachment

View Attachment

21. \*By signing this application, I certify (1) to the statements contained in the list of certifications\*\* and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances\*\* and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001)

☒ \*\* I AGREE

\*\* The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.

**Authorized Representative:**

Prefix: \* First Name: Samuel  
Middle Name:  
\* Last Name: Moku  
Suffix:

\* Title: Director of Department of Community Services

\* Telephone Number: 808-768-7760

Fax Number:

Email: smoku@honolulu.gov

Signature of Authorized Representative: Leinaala Nakamura

\* Date Signed: 04/17/2012

## **Administrative Costs**

**Pursuant to 20 CFR 667.210(b), grantees are advised that there is a 10% limitation on administrative costs on funds administered under this grant. In no event, may administrative costs exceed 10% of the total award amount. The cost of administration shall include those disciplines enumerated in 20 CFR 667.220(b) and (c).**

**Sec. 667.220 What Workforce Investment Act title I functions and activities constitute the costs of administration subject to the administrative cost limit?**

(a) The costs of administration are that allocable portion of necessary and reasonable allowable costs of State and local workforce investment boards, direct recipients, including State grant recipients under subtitle B of title I and recipients of awards under subtitle D of title I, as well as local grant recipients, local grant subrecipients, local fiscal agents and one-stop operators that are associated with those specific functions identified in paragraph (b) of this section and which are not related to the direct provision of workforce investment services, including services to participants and employers. These costs can be both personnel and non-personnel and both direct and indirect.

(b) The costs of administration are the costs associated with performing the following functions:

(1) Performing the following overall general administrative functions and coordination of those functions under WIA title I:

(i) Accounting, budgeting, financial and cash management functions;

(ii) Procurement and purchasing functions;

(iii) Property management functions;

(iv) Personnel management functions;

(v) Payroll functions;

(vi) Coordinating the resolution of findings arising from audits, reviews, investigations and incident reports;

(vii) Audit functions;

(viii) General legal services functions; and

(ix) Developing systems and procedures, including information systems, required for these administrative functions;

(2) Performing oversight and monitoring responsibilities related to WIA administrative functions;

(3) Costs of goods and services required for administrative functions of the program, including goods and services such as rental or purchase of equipment, utilities, office supplies, postage, and rental and maintenance of office space;

(4) Travel costs incurred for official business in carrying out administrative activities or the overall management of the WIA system; and

(5) Costs of information systems related to administrative functions (for example, personnel, procurement, purchasing, property management, accounting and payroll systems) including the purchase, systems development and operating costs of such systems.

(c)(1) Awards to subrecipients or vendors that are solely for the performance of administrative functions are classified as administrative costs.

(2) Personnel and related non-personnel costs of staff who perform both administrative functions specified in paragraph (b) of this section and programmatic services or activities must be allocated as administrative or program costs to the benefiting cost objectives/categories based on documented distributions of actual time worked or other equitable cost allocation methods.

(3) Specific costs charged to an overhead or indirect cost pool that can be identified directly as a program cost are to be charged as a program cost. Documentation of such charges must be maintained.

(4) Except as provided at paragraph (c)(1), all costs incurred for functions and activities of subrecipients and vendors are program costs.

(5) Costs of the following information systems including the purchase, systems development and operating (e.g., data entry) costs are charged to the program category:

(i) Tracking or monitoring of participant and performance information;

(ii) Employment statistics information, including job listing information, job skills information, and demand occupation information;

(iii) Performance and program cost information on eligible providers of training services, youth activities, and appropriate education activities;

(iv) Local area performance information; and

(v) Information relating to supportive services and unemployment insurance claims for program participants;

(6) Continuous improvement activities are charged to administration Or program category based on the purpose or nature of the activity to be improved. Documentation of such charges must be maintained.



**The Solicitation for  
Grant Applications for this competition is  
attached and hereby incorporated into  
this Grant Agreement.**

**EXHIBIT A**

**U.S. DEPARTMENT OF LABOR**

**Employment and Training Administration**

**Notice of Availability of Funds and Solicitation for Grant Applications for Serving Young Adult Ex-Offenders through Training and Service-Learning**

**Announcement Type:** Solicitation for Grant Applications (SGA)

**Funding Opportunity Number:** SGA/DFA-PY-11-03

**Catalog of Federal Domestic Assistance (CFDA) Number:** 17.270

**Key Dates:** The closing date for receipt of applications under this announcement is **April 17, 2012**. Applications must be received no later than 4:00 p.m. Eastern Time.

**Addresses:** Mailed applications must be addressed to the U.S. Department of Labor, Employment and Training Administration, Office of Grants Management, Attention: Latifa Jeter, Grant Officer, Reference SGA/DFA PY 11-03, 200 Constitution Avenue, NW, Room N4716, Washington, DC 20210. For complete application and submission information, including online application instructions, please refer to section IV.

**Summary:**

The Employment and Training Administration (ETA), U.S. Department of Labor (DOL, or the Department), announces the availability of approximately \$30 million in grant funds authorized by the Workforce Investment Act for Reintegration of Ex-Offenders (RExO) Training and Service-Learning grants to serve young adult offenders ages 18 through 21 who have been involved in the juvenile justice system from the age of 14 or above and have never been convicted as an adult under Federal or State law. Training provided through these grants is expected to lead to credentials recognized by in demand industries in the grantee's geographic area to be served. Service-learning projects conducted through these grants must integrate meaningful community service with instruction and reflection that enrich the learning experience, teach civic responsibility, and encourage lifelong civic engagement. Such projects can help rebuild severed relationships between the returning offender and members of the community while developing the participant's workplace skills, such as leadership and time management. Through service-learning, returning offenders are offered the opportunity to reestablish community-based trust while enhancing their work-based skills and status in their communities.

These grants will be awarded through a competitive process. The Department expects to award a minimum of 20 grants of various amounts. Applicants may each submit only one proposal requesting up to \$1.5 million to cover a 30-month period of performance that includes up to four months of planning and a minimum of 26 months of operation. The 26 months of operation includes time for follow-up services for a period of three to four months. Some participants may be receiving follow-up services while others are still receiving direct services. The Department anticipates the approximate cost per participant to be in the range of \$12,000 to \$16,000 (including administration and planning costs) for average length-of-stays of six to eight months. The Department expects that participants will be enrolled in these programs full-time, as defined by a minimum of 32-hours per week, including time spent in both the service-learning and educational components. Programs may enroll participants for up to one-year terms, inclusive of

the follow-up period, with the understanding that participants may leave the program before completion to take other jobs or for personal or conduct-related reasons.

This solicitation provides background information and describes the application submission requirements, outlines the process that eligible entities must use to apply for funds covered by this solicitation, and outlines the evaluation criteria used as a basis for selecting the grantees.

## **I. Funding Opportunity Description**

### **A. Background of Funding Opportunity**

Each year, juvenile courts in the United States handle roughly 1.6 million delinquency cases, and an estimated 144,000 youth are placed in juvenile correctional facilities. Youth in the juvenile justice system have a high probability of returning to crime after their release. As an example, the State of Virginia reports that 75 percent of youth released from state correctional facilities and 61 percent of youth placed on probation in the state are arrested for a new crime within three years.<sup>1</sup> A contributing factor to this high recidivism rate is the disproportionately high unemployment rate among ex-prisoners, estimated to range from 25 to 40 percent.

This Solicitation seeks to improve the employability of participants by providing skills training. The training and service-learning grants to be awarded through this announcement hold promise for reducing the recidivism rate of young adult offenders. Job training that leads to employer-recognized credentials helps to ensure the value of the training in the labor market, which benefits the individuals served through the grants. Grantees should develop training programs in areas where there are no prohibitions for employment of persons with criminal records. The attainment of industry-recognized credentials is a strategy for both improving employment and earnings prospects for participants and addressing employers' needs for more skilled workers.

The service-learning component of these projects provides participants the opportunity to give something back to their communities through community service to make up for past transgressions. At the same time as learning occupational skills, service-learning helps to develop work-place skills, such as leadership and time management. Such projects hold promise for reducing the recidivism rate of juvenile offenders by improving their vocational and educational skills and long-term prospects in the labor market and by increasing their attachment to their community and their sense of community responsibility.

The rehabilitation benefit of providing ex-offenders the opportunity to participate in service-learning projects is based on the premise that, by their criminal acts, offenders have hurt their communities and have depleted any trust that the community has in them. Participating in service-learning projects that integrate occupational skills training offers ex-offenders a chance to demonstrate accountability for their actions and make reparations to the community while

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<sup>1</sup> See the State of Virginia's Department of Juvenile Justice's Data Resource Guide for FY 2009 ([http://www.djj.virginia.gov/Resources/DJJ\\_Publications/DRGFY.aspx](http://www.djj.virginia.gov/Resources/DJJ_Publications/DRGFY.aspx) ). For links to juvenile justice systems in other states see the State Juvenile Justice Profiles web site at <http://www.ncjj.org/Publication/Juvenile-Court-Statistics-1998.aspx> , but data on recidivism is not typically available through these links.

developing their work-place skills; such as leadership and time management. This effort at fostering a renewed sense of belonging and investment in their communities is accomplished through 1) service-learning projects that aid in the rebuilding of severed relationships between young offenders and community members while reestablishing trust and a positive status for the offender within the community; and 2) work experience, other vocational training, and academic interventions that enable participants to improve their skills and enhance their future educational and career opportunities.<sup>2</sup>

Programs funded under this SGA must include each of the following components: 1) meaningful service-learning opportunities; 2) educational interventions that leads to placement opportunities in post-secondary education and vocational training that lead to industry-recognized credentials in demand industries in the geographic area to be served; 3) community awareness of the participants' service projects that rebuilds the community's trust in them and enables the community to view them as assets rather than liabilities; 4) high staff-to-participant ratios, including close adult supervision on service-learning projects; 5) a career development; and 6) post-program support and follow-up. These six program components are discussed in more detail in the Required Program Components section, Section I.B, below.

The Department will set performance goals for these grants relating to the rate at which participants enter employment, post-secondary education or training; are retained in employment and education placements; avoid re-arrest and re-incarceration; and receive high school diplomas (or equivalent) and industry-recognized credentials. Programs already serving eligible participants must increase their overall enrollment with DOL funds, rather than serve existing participants through a co-enrollment process.

## **B. Required Program Components**

To address the evaluation criteria in Section V.A. each applicant under this SGA must include each of the components described below.

**1. Meaningful service-learning opportunities.** Programs funded under these grants must conduct service-learning projects of value to the local community. These projects should also help participants learn work-based skills required for effective and sustained employment, including "soft skills" such as professionalism, communication, and problem-solving. The Department also encourages having participants work in teams. Examples of possible service-learning projects include: conservation projects such as restoration of public lands, maintaining federally-managed fish hatcheries, urban tree planting, and park trail maintenance; graffiti removal; staffing and support for community events like fairs or community days; improving sports fields; and other appropriate activities at health clinics, hospitals, or food banks. Grantees must also place a high priority on public safety, as well as the safety of program participants at project worksites.

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<sup>2</sup> For more information on the history and justification for involving offenders in civic justice projects, see Gordon Bazemore and David Carp, "A Civic Justice Corps: Community Service as a Means of Reintegration," available at <http://www.cjcj.org/files/bazemore.pdf>.

**2. Educational interventions that lead to placement opportunities in post-secondary education and vocational training that leads to industry-recognized credentials in demand industries in the geographic area to be served.** Programs funded under these grants should provide a comprehensive set of interventions to address the varying academic levels of participants. The educational component should integrate education interventions with career and occupational development and include basic skills instruction and remedial education; language instruction for individuals with limited English proficiency; tutoring; study skills training; and credit retrieval. Programs must provide reasonable accommodations to participants with disabilities. Additional educational interventions could include counseling participants on acquiring financial aid to attend college, taking them on visits to local community and four-year colleges, and helping them fill out necessary application forms for college. These interventions should be designed to lead to the attainment of a secondary school diploma, GED, or other State-recognized equivalent, including recognized alternative standards for individuals with disabilities. Applicants must also offer vocational training that leads to industry-recognized credentials in demand industries in their geographic area to be served. Applicants should use Bureau of Labor Statistics (BLS) data and information obtained by their local economic development agency and local Workforce Investment Board (WIB) to develop training programs that are relevant to the local communities' workforce and economic development needs.

**3. Community awareness of the youth's service projects that rebuilds the community's trust in the youth and enables the community to view the youth as assets rather than liabilities.** Programs funded under these grants must emphasize rebuilding the community's trust in the young offenders served by the program and also instill a sense of community responsibility in the youth offenders served. Grantees should coordinate with their local communities in developing and implementing service-learning projects that meet real and specific needs. Depending on the project, this could include working with civic organizations, local government leaders, employers, or clergy. Programs should develop ways for the community to recognize the participants who worked on projects, once the projects are completed. The grantees should also work with the community to help support further positive community involvement by the participants.

**4. High Staff-to-Participant Ratios, including Close Adult Supervision on Service-Learning Projects.** Programs funded under these grants must have a sufficient number of staff to run a high-quality program. In particular, grantees must have enough adult project site supervisors to ensure that work being conducted on service-learning projects is of high quality; that participants are being productive and demonstrating a positive attitude toward the service-learning project at hand; and that participants are gaining employment skills and learning positive behaviors such as leadership, teamwork, and respect for authority and for fellow participants. Programs will also need to ensure that case management is provided either directly with grant funds or through referrals to partner agencies, to address participants' barriers to employment, such as a lack of transportation and childcare, substance abuse and mental health issues, and history of family instability. Programs will also need to develop strategies to ensure that the interaction among juvenile offenders does not cause them to re-offend. Funding for these grants is appropriated under the Workforce Investment Act of 1998 (WIA). Under WIA Section 181(b)(4), health and safety standards established under Federal and State law otherwise applicable to working

conditions of employees are equally applicable to working conditions of program participants engaged in training and other activities.

**5. Career Development.** Programs funded under these grants must have a strong career development component that seeks to place each participant in employment, post-secondary education, registered apprenticeship program, or vocational training leading to industry-recognized credentials in demand industries in the geographic area to be served. This component should include partnerships with employers, the local workforce investment system's One-Stop Career Center(s), community colleges, and four-year colleges. This component should be integrated with educational interventions. Career development services also should be an extension of service-learning projects so that the employment skills gained during service-learning projects are related to current and future work opportunities. There should be an emphasis on career development for in demand industries such as health care. DOL has developed a tool to assist in career development and planning called "My Next Move," which can be accessed at <http://mynextmove.org>. Service-learning projects may provide exposure to various industries and, in such cases, participants should be exposed to relevant industry data, such as future job openings and educational requirements for different occupations within those industries. For example, service-learning projects in the area of conservation may be connected to learning about job opportunities in land management agencies such as the National Park Service, the Forest Service, and the Bureau of Indian Affairs. Other service-learning projects conducted in hospitals or clinics may be connected, for example, to job or post-secondary educational opportunities in allied health occupations, such as dental hygienists, diagnostic medical sonographers, opticians, and radiologic technologists.

**6. Post-Program Support and Follow-Up.** Programs funded under these grants must have strong post-program support and follow-up components, including continued coordination and contact with employers, the local workforce development agency, local community colleges, and four-year colleges where participants have been placed, to ensure that participants retain jobs and remain in the schools and in other career development opportunities in which they are placed. Applicants must define the length of these post-placement services which must occur during the 26-month operation period of the grant. Time for follow-up services must be for a period of 3 to 4 months. Some participants may be receiving follow-up services while others are still receiving direct services.

**C. Required Partnerships with the Juvenile Justice System and Social Service Agencies**  
In addition to the links to employers, the local workforce investment system's One-Stop Career Center(s), Workforce Investment Boards (WIBs), local economic development agencies, community colleges, and four-year colleges described in the Career Development and Post-Program Support and Follow-Up components, each Program funded under this SGA will be expected to develop partnerships with the entities listed in the bullet points below, to leverage resources to provide services.

- The local juvenile justice system to receive referrals of eligible individuals who are being released from juvenile correction facilities, who are on probation, who received an alternative sentence, who were diverted before adjudication as an alternative to juvenile

prosecution, or who have been involved in the juvenile justice system, and to coordinate services to program participants with juvenile probation officers; and

- Social service agencies to provide referrals for health care and mental health services, substance abuse services, parenting classes and services, assistance in using the Earned Income Tax Credit, assistance in accessing the Supplemental Nutrition Assistance Program (SNAP) for food stamps and other Federal services, and housing assistance. Grantees must partner with existing networks of county or regional social service agencies funded by state or federal resources that provide services to ex-offenders, where these networks exist.

#### **D. Allowable Uses of Grant Funds**

Allowable uses of grant funds for projects funded under these grants include but are not necessarily limited to the following activities:

- 1) Service-learning, career development, and education activities, such as:
  - Service-learning projects;
  - Skill and interest assessment and career development planning;
  - Skills training that lead to credentials recognized in demand industries in the geographic area to be served;
  - Payment of wages to participants;
  - Payment of stipends to participants based on their performance in the program;
  - Incentives payments to participants for recognition and achievement tied to training activities and work experiences;
  - Job placement activities;
  - Equipment, materials, and supplies for community service projects that support the occupational training aspect of public community service projects, consistent with requirements in 2 CFR 225 and 2 CFR 230, which require prior agency approval for equipment over \$5,000 and that materials and supplies be charged at their actual net cost;
  - Purchase of equipment for reasonable accommodations for persons with disabilities;
  - The purchase of bonds through the Federal Bonding Program;
  - Basic skills instruction and remedial education;
  - Referrals to parenting classes;
  - Credit retrieval and GED instruction;
  - Language instruction educational programs for individuals with limited English proficiency;
  - Counseling and assistance in compiling high school credits, applying for post-secondary education, and applying for financial aid; and
  - Supportive services to include needs-related payments in accordance with Part IV.E. 5.
- 2) Case management, supportive services and related activities, including but not limited to:
  - Mentoring;
  - Referrals to housing assistance;
  - Referrals to mental health counseling;
  - Referrals to parenting classes and services;

- Referrals to and payment of legal services related to the purpose of this grant, such as: providing legal assistance to secure driver's license, expunge criminal records and modify child support orders; and
  - Referrals to substance abuse treatment.
- 3) Leadership and personal development activities that seek to develop cognitive and soft skills that participants will need to succeed in future jobs and that support one or more workplace competencies, including:
- Problem-solving;
  - Oral communication skills;
  - Strong work ethic; and
  - Ability to work as part of a team.
- 4) Follow-up services that focus on job retention, retention in education and training, wage gains, and career progress through regular contact with employers, educational institutions, and other post-placement supporting agencies, including:
- Assistance in addressing work-related problems that arise;
  - Assistance in securing better-paying jobs;
  - Career development and further education;
  - Continued coordination with colleges where participants have been placed and local workforce agencies;
  - Work in peer support groups;
  - Mentoring; and
  - Tracking of progress made by participants in employment, education, and training.

## **II. Award Information**

### **A. Award Amount**

The Department has approximately \$30 million in grant funds available through this competition for Training and Service-Learning grants and expects to award a minimum of 20 grants of various amounts. Applicants may submit only one proposal for up to \$1.5 million, with the amount requested depending on the number of offenders ages 18 through 21 who have been involved in the juvenile justice system at the age of 14 or above and have never been convicted as an adult under Federal or State law as defined in Section III.D.I the applicant plans to serve. Any grant application with a proposed value greater than \$1.5 million will be deemed non-responsive and will not be considered. In the event additional funds become available, ETA reserves the right to use such funds to select additional grantees from applications submitted in response to this solicitation.

### **B. Period of Performance**

These grants will be funded for a 30-month period of performance that includes up to four months for a planning phase and a minimum of 26 months of operation, which must include a follow-up period that lasts 3 to 4 months. This follow-up must be included in the period of performance. In the Budget Narrative, discussed in section IV.B.I, applicants must provide separate budgets for planning and operations. Regardless of the length of the planning period, applicants must budget for a minimum of 26 months of operation. Grantees should be judicious



in their use of funds during the planning period and use funds specifically for planning and pre-implementation activities associated with this grant. Applicants should plan to fully expend grant funds during the period of performance while ensuring full transparency and accountability for all expenditures. Grantees must achieve all planning milestones during the planning phase. These milestones will include: the hiring of core program staff, including the Project Director, Job Developer(s), and Case Manager(s); establishment of all necessary partnerships for the successful delivery of services; and the initiation of recruitment and outreach efforts for enrollment of participants. Completion of these milestones within the grant's planning phase will be reviewed by the Federal Project Officer.

### **III. Eligibility Information**

#### **A. Eligible Applicants**

Any non-profit organization with IRS 501(c)(3) status, unit of state or local government, or any Indian and Native American entity eligible for grants under WIA Section 166 may apply for these grants. An organization may submit only one application for up to \$1.5 million. If more than one application is submitted, only the first application will be reviewed.

#### **B. Cost Sharing or Matching**

Cost sharing or matching funds are not required as a condition for application.

#### **C. Other Eligibility Criteria-**

There are no other eligibility criteria.

#### **D. Eligible Participants**

##### **1. Participants Eligible to Receive Services**

Individuals ages 18 through 21 who have been involved in the juvenile justice system at the age of 14 or above and have never been convicted as an adult under Federal or State law.

Involvement in the juvenile justice system includes individuals who were:

- under the supervision of the juvenile justice system either in out-of-home placements or on probation or parole;
- under an alternative sentence by the juvenile justice system; or
- in a diversion program as an alternative to juvenile prosecution by the juvenile justice system.

Individuals served with funds under this SGA must reside in the geographic area identified by the applicant (which can be a city, a county, a sub-area of a city or county, a set of contiguous counties, an Indian Reservation, a local workforce investment area, or other similar geographic area), or be returning to the geographic area from an out-of-home placement in the juvenile justice system.

##### **2. Veterans Priority for Participants**

The Jobs for Veterans Act (Public Law 107-288) requires grantees to provide priority of service for veterans and spouses of certain veterans for the receipt of employment, training, and placement services in any job training program directly funded, in whole or in part, by DOL. The regulations implementing this priority of service can be found at 20 CFR Part 1010. In

circumstances where a grant recipient must choose between two qualified candidates for a service, one of whom is a veteran or eligible spouse, the veterans priority of service provisions require that the grant recipient give the veteran or eligible spouse priority of service by first providing him or her that service. To obtain priority of service, a veteran or spouse must meet the program's eligibility requirements. Grantees must comply with DOL guidance on veterans' priority. ETA's Training and Employment Guidance Letter (TEGL) No. 10-09 (issued November 10, 2009) provides guidance on implementing priority of service for veterans and eligible spouses in all qualified job training programs funded in whole or in part by DOL. TEGL No. 10-09 is available at [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2816](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2816).

## **E. Other Grant Specifications**

### **1. Transparency**

DOL is committed to conducting a transparent grant award process and publicizing information about program outcomes. Posting grant applications on public websites is a means of promoting and sharing innovative ideas. For this grant competition, we will publish the abstracts required by Section IV, B. Part III for all applications on the Department's public website or similar publicly accessible location. Additionally, we will publish a version of the Technical Proposal required by Section IV.B.Part II, for all those applications that are awarded grants, on the Department's website or a similar location. No other parts of or attachments to the application will be published. The Technical Proposals and Abstracts will not be published until after the grants are announced. In addition, information about grant progress and results may also be made publicly available.

DOL recognizes that grant applications sometimes contain information that an applicant may consider proprietary or business confidential information, or may contain personally identifiable information (PII). Proprietary or confidential commercial/business information is information that is not usually disclosed outside your organization and the disclosure of which is likely to cause you substantial competitive harm. PII is information that can be used to distinguish or trace an individual's identity, such as name, social security number, date and place of birth, mother's maiden name, or biometric records, and any other information that is linked or linkable to an individual, such as medical, educational, financial, and employment information.<sup>3</sup>

Abstracts will be published in the form originally submitted, without any redactions. However, in order to ensure that PII and proprietary or confidential commercial/business information is properly protected from disclosure when DOL posts the winning Technical Proposals, applicants whose technical proposals will be posted will be asked to submit a second redacted version of their Technical Proposal, with any proprietary, confidential commercial/business, and PII redacted. All non-public information about the applicant's staff should be removed as well. The Department will contact the applicants whose technical proposals will be published by letter or email, and provide further directions about how and when to submit the redacted version of the Technical Proposal. Submission of a redacted version of the Technical Proposal will constitute permission by the applicant for DOL to make the redacted version publicly available. If an

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<sup>3</sup> Memorandums 07-16 and 06-19. GAO Report 08-536, *Privacy: Alternatives Exist for Enhancing Protection of Personally Identifiable Information*, May 2008, <http://www.gao.gov/new.items/d08536.pdf>.

applicant fails to provide a redacted version of the Technical Proposal, DOL will publish the original Technical Proposal in full, after redacting PII. (Note that the original, unredacted version of the Technical Proposal will remain part of the complete application package, including an applicant's proprietary and confidential information and any PII.)

Applicants are encouraged to maximize the grant application information that will be publicly disclosed, and to exercise restraint and redact only information that clearly is proprietary, confidential commercial/business information, or PII. The redaction of entire pages or sections of the Technical Proposal is not appropriate, and will not be allowed, unless the entire portion merits such protection. Should a dispute arise about whether redactions are appropriate, DOL will follow the procedures outlined in the Department's Freedom of Information Act (FOIA) regulations (29 CFR Part 70).

Redacted information in grant applications will be protected by DOL from public disclosure in accordance with federal law, including the Trade Secrets Act (18 U.S.C. § 1905), FOIA, and the Privacy Act (5 U.S.C. § 552a). If DOL receives a FOIA request for your application, the procedures in DOL's FOIA regulations for responding to requests for commercial/business information submitted to the government will be followed, as well as all FOIA exemptions and procedures. 29 CFR § 70.26. Consequently, it is possible that application of FOIA rules may result in release of information in response to a FOIA request that an applicant redacted in its "redacted copy."

#### **IV. Application and Submission Information**

##### **A. How to Obtain an Application Package**

This SGA contains all of the information and links to forms needed to apply for grant funding.

##### **B. Content and Form of Application Submission**

Proposals submitted in response to this SGA must consist of three separate and distinct parts: (I) a cost proposal; (II) a technical proposal; and (III) attachments to the technical proposal. Applications that do not contain all of the three parts or that fail to adhere to the instructions in this section will be deemed non-responsive and will not be reviewed. It is the applicant's responsibility to ensure that the funding amount requested is consistent across all parts and sub-parts of the application.

**Part I. The Cost Proposal.** The Cost Proposal must include the following items:

- SF-424, "Application for Federal Assistance" (available at <http://apply07.grants.gov/apply/FormLinks?family=15>). The SF-424 must clearly identify the applicant and must be signed by an individual with authority to enter into a grant agreement. Upon confirmation of an award, the individual signing the SF-424 on behalf of the applicant shall be considered the authorized representative of the applicant. As stated in block 21 of the SF-424 form, the signature of the authorized representative on the SF-424 certifies that the organization is in compliance with the Assurances and Certifications form SF-424B (available at <http://apply07.grants.gov/apply/FormLinks?family=15>). The SF-424B is not required to be submitted with the application.

In addition, the applicant's signature in block 21 of the SF-424 form constitutes assurance by the applicant of the following in accordance with 29 CFR § 37.20:

As a condition to the award of financial assistance from the Department of Labor under Title I of WIA, the grant applicant assures that it will comply fully with the nondiscrimination and equal opportunity provisions of the following laws: Section 188 of the Workforce Investment Act of 1998 (WIA), which prohibits discrimination against all individuals in the United States on the basis of race, color, religion, sex, national origin, age, disability, political affiliation or belief, and against beneficiaries on the basis of either citizenship/status as a lawfully admitted immigrant authorized to work in the United States or participation in any WIA Title I—financially assisted program or activity; Title VI of the Civil Rights Act of 1964, as amended, which prohibits discrimination on the bases of race, color and national origin; Section 504 of the Rehabilitation Act of 1973, as amended, which prohibits discrimination against qualified individuals with disabilities; The Age Discrimination Act of 1975, as amended, which prohibits discrimination on the basis of age; and Title IX of the Education Amendments of 1972, as amended, which prohibits discrimination on the basis of sex in educational programs. The grant applicant also assures that it will comply with 29 CFR Part 37 and all other regulations implementing the laws listed above. This assurance applies to the grant applicant's operation of the WIA Title I-financially assisted program or activity, and to all agreements the grant applicant makes to carry out the WIA Title I-financially assisted program or activity. The grant applicant understands that the United States has the right to seek judicial enforcement of this assurance.

All applicants for Federal grant and funding opportunities are required to have a Data Universal Numbering System (D-U-N-S®) number, and must supply their D-U-N-S® Number on the SF-424. The D-U-N-S® Number is a nine-digit identification number that uniquely identifies business entities. If you do not have a D-U-N-S® Number, you can get one for free through the D&B website: <http://fedgov.dnb.com/webform/displayHomePage.do>.

- The SF-424A Budget Information Form (available at <http://apply07.grants.gov/apply/FormLinks?family=15>). In preparing the Budget Information Form, the applicant must provide a concise narrative explanation to support the budget request, explained in detail below.

- Budget Narrative: The budget narrative must provide a description of costs associated with each line item on the SF-424A. It should also include a description of leveraged resources provided (as applicable) to support grant activities.

- Note that the entire Federal grant amount requested (not just one year) must be included on the SF-424 and SF-424A and budget narrative. No leveraged resources should be shown on the SF-424 and SF-424A. The amount listed on the SF-424, SF-424A and budget narrative must be the same. Please note, the funding amount included on the SF-424 will be considered the official funding amount requested if any inconsistencies are found. Applications that fail to provide an SF-424 including D-U-N-S® Number, SF-424A, and a budget narrative will be considered non-responsive and will not be reviewed.

- Regardless of the method of application submission, all applicants must register with the Federal Central Contractor Registry (CCR) before submitting an application. Step-by-step instructions for registering with CCR can be found at [http://www.grants.gov/applicants/org\\_step2.jsp](http://www.grants.gov/applicants/org_step2.jsp). An awardee must maintain an active CCR

registration with current information at all times during which it has an active Federal award or an application under consideration. To remain registered in the CCR database after the initial registration, the applicant is required to review and update on an annual basis from the date of initial registration or subsequent updates its information in the CCR database to ensure it is current, accurate and complete. For purposes of this paragraph, the applicant is the entity that meets the eligibility criteria and has the legal authority to apply and to receive the award. Failure to register with the CCR before application submission will result in your application being found non-responsive and will not be reviewed.

**Part II. The Technical Proposal.** The Technical Proposal must demonstrate the applicant's capability to implement the grant project in accordance with the provisions of this Solicitation. The guidelines for the content of the Technical Proposal are provided in section V of this SGA. The Technical Proposal is limited to 25 double-spaced single-sided 8.5 x 11 inch pages with 12 point text font and 1 inch margins. Any materials beyond the specified page limit will not be read. Applicants should number the Technical Proposal beginning with page number 1. Applications that do not include Part II, the Technical Proposal, will be considered non-responsive and will not be reviewed.

**Part III. Attachments to the Technical Proposal.** In addition to the Technical Proposal, the applicant must submit the following attachments:

A. Technical Proposal Attachments Required for Review of the Application:

- 1) An up to two-page abstract summarizing the proposed project, including but not limited to the scope of the project and proposed outcomes, a brief discussion of the geographic area to be served by the grant, the number of eligible participants to be served, the service-learning projects to be conducted, the educational interventions to be provided including vocational training that leads to industry recognized credentials in demand industries in the geographic area to be served, the employment opportunities to be offered, the sources of recruitment for participants, and the partnerships that will be developed. If using grants.gov for submission, this document must be attached under the Mandatory Other Attachment section and labeled abstract. Please note that applicants will be held to outcomes provided and failure to meet those outcomes may have a significant impact on future grants with ETA.
- 2) Project/Performance Site Location(s) form (available at <http://apply07.grants.gov/apply/FormLinks?family=15> ). If using grants.gov for submission, this form must be attached under the required forms section. Please note that this is a standard form used for many programs and has a check box for applying as an individual. Disregard this box on the form as individuals are not eligible to apply for this solicitation; and
- 3) For those applicants submitting an application as a non-profit, verification from the Internal Revenue Service (IRS) of non-profit 501(c)(3) status signed by an authorized representative of the IRS is required. ALL non-profit applicants must submit this verification even if you are a current DOL grantee and documentation is assumed to be on file.

**Applications that do not include all of the required attachments listed above will be considered non-responsive and will not be reviewed.**

**B. Technical Proposal Attachments Required for Receiving Points in Particular Sections or Subsections of the Evaluation Criteria (Section V.)** The following documents are required for receiving points in particular sections or subsections of the evaluation criteria:

- 1) Chart documenting need as discussed in Section V.A.1;
- 2) Evidence of progress made in developing partnerships as described in Section V.A.3, which may include letters of commitment and memoranda of understanding from expected partners and other letters to support the applicant's response to the evaluation criteria found in section V.A.3;
- 3) Charts documenting past grant performance and timeliness of reports as discussed in Section V.A.5 and 6; and
- 4) Previous grantor contact information as discussed in Section V.A.5 and 6.

**The required and additional attachments listed above do not count against the 25-page limit for the Technical Proposal.**

The attachments must be affixed as separate, clearly identified appendices to the application. Additional materials such as resumés or general letters of support or commitment will not be considered.

Applicants should not send documents separately to DOL, because documents received separately will be tracked separately through a different system and will not be attached to the application for review. DOL will not accept general letters of support submitted by organizations or individuals that are not partners in the proposed project and that do not directly identify the specific commitment or roles of the project partners.

### **C. Submission Date, Times, Process and Addresses**

The closing date for receipt of applications under this announcement is April 17, 2012. Applications may be submitted electronically on <http://www.grants.gov> or in hard copy by mail or hand delivery (including overnight delivery). Hard copy applications must be received at the address below no later than 4:00 p.m. Eastern Time on the closing date. Applications submitted on grants.gov must also be successfully submitted (as described below) no later than 4:00 p.m. Eastern Time on the closing date. Applications sent by e-mail, telegram, or facsimile (FAX) will not be accepted.

Applicants submitting proposals in hard copy must submit an original signed application (including the SF-424) and one (1) "copy-ready" version free of bindings, staples or protruding tabs to ease in the reproduction of the proposal by DOL. Applicants submitting proposals in hard copy are also required to provide an identical electronic copy of the proposal on compact disc (CD). If discrepancies between the hard copy submission and CD copy are identified, the application on the CD will be considered the official applicant submission for evaluation purposes. Failure to provide identical applications in hardcopy and CD format may have an impact on the overall evaluation.

If an application is physically submitted by both hard copy and through <http://www.grants.gov>, a letter must accompany the hard-copy application stating which application to review. If no letter accompanies the hard copy, we will review the copy submitted through <http://www.grants.gov>.

Applications that do not meet the conditions set forth in this notice will be considered non-responsive. No exceptions to the mailing and delivery requirements set forth in this notice will be granted. Further, documents submitted separately from the application, before or after the deadline, will not be accepted as part of the application.

Mailed applications must be addressed to the U.S. Department of Labor, Employment and Training Administration, Division of Federal Assistance, Attention: Latifa Jeter, Grant Officer, Reference SGA/DFA PY 11-03, 200 Constitution Avenue, NW, Room N4716, Washington, DC 20210. Applicants are advised that mail delivery in the Washington DC area may be delayed due to mail decontamination procedures. Hand-delivered proposals will be received at the above address. All overnight mail will be considered to be hand-delivered and must be received at the designated place by the specified closing date and time.

Applications that are submitted through Grants.gov must be successfully submitted at <http://www.grants.gov> no later than 4:00 p.m. Eastern Time on the closing date and then subsequently validated by Grants.gov. The submission and validation process is described in more detail below. The process can be complicated and time-consuming. Applicants are strongly advised to initiate the process as soon as possible and to plan for time to resolve technical problems if necessary.

The Department strongly recommends that before the applicant begins to write the proposal, applicants should immediately initiate and complete the "Get Registered" registration steps at [http://www.grants.gov/applicants/get\\_registered.jsp](http://www.grants.gov/applicants/get_registered.jsp). Applicants should read through the registration process carefully before registering. These steps may take as much as four weeks to complete, and this time should be factored into plans for electronic submission in order to avoid unexpected delays that could result in the rejection of an application. The site also contains registration checklists to help you walk through the process. The Department strongly recommends that applicants download the "Organization Registration Checklist" at [http://www.grants.gov/assets/Organization\\_Steps\\_Complete\\_Registration.pdf](http://www.grants.gov/assets/Organization_Steps_Complete_Registration.pdf) and prepare the information requested before beginning the registration process. Reviewing and assembling required information before beginning the registration process will alleviate last minute searches for required information and save time.

As described above, applicants must have a D-U-N-S® Number and must register with the Federal Central Contractor Registry (CCR).

The next step in the registration process is creating a username and password with Grants.gov to become an Authorized Organizational Representative (AOR). AORs will need to know the D-U-N-S® Number of the organization for which they will be submitting applications to complete this process. To read more detailed instructions for creating a profile on Grants.gov visit: [http://www.grants.gov/applicants/org\\_step3.jsp](http://www.grants.gov/applicants/org_step3.jsp).

After creating a profile on Grants.gov, the E-Biz point of Contact (E-Biz POC) - a representative from your organization who is the contact listed for CCR - will receive an email to grant the AOR permission to submit applications on behalf of their organization. The E-Biz POC will then log in to Grants.gov and approve an applicant as the AOR, thereby giving him or her permission to submit applications. To learn more about AOR Authorization visit: [http://www.grants.gov/applicants/org\\_step5.jsp](http://www.grants.gov/applicants/org_step5.jsp), or to track AOR status visit: [http://www.grants.gov/applicants/org\\_step6.jsp](http://www.grants.gov/applicants/org_step6.jsp).

An application submitted through Grants.gov constitutes a submission as an electronically signed application. The registration and account creation with Grants.gov, with E-Biz POC approval, establishes an AOR. When you submit the application through Grants.gov, the name of your AOR on file will be inserted into the signature line of the application. Applicants must register the individual who is able to make legally binding commitments for the applicant organization as the AOR; this step is often missed and it is crucial for valid submissions.

When a registered applicant submits an application with Grants.gov, an electronic time stamp is generated within the system when the application is successfully received by Grants.gov. Within two business days of application submission, Grants.gov will send the applicant two email messages to provide the status of the application's progress through the system. The first email, sent almost immediately, will contain a tracking number and will confirm receipt of the application by Grants.gov. The second email will indicate the application has either been successfully validated or has been rejected due to errors. Grants.gov will reject applications if the applicant's CCR is expired. Only applications that have been successfully submitted by the deadline and subsequently successfully validated will be considered. It is the sole responsibility of the applicant to ensure a timely submission. While it is not required that an application be successfully validated before the deadline for submission, it is prudent to reserve time before the deadline in case it is necessary to resubmit an application that has not been successfully validated. Therefore, sufficient time should be allotted for submission (two business days) and, if applicable, additional time to address errors and receive validation upon resubmission (an additional two business days for each ensuing submission). It is important to note that if sufficient time is not allotted and a rejection notice is received after the due date and time, the application will not be considered.

To ensure consideration, the components of the application must be saved as .doc, .docx, .xls, .xlsx, .rtf or .pdf files. If submitted in any other format, the applicant bears the risk that compatibility or other issues will prevent us from considering the application. ETA will attempt to open the document but will not take any additional measures in the event of problems with opening. In such cases, the non-conforming application will not be considered for funding. We strongly advise applicants to use the various tools and documents, including FAQs, which are available on the "Applicant Resources" page at <http://www.grants.gov/applicants/resources.jsp>.

ETA encourages new prospective applicants to view the online tutorial, "Grant Applications 101: A Plain English Guide to ETA Competitive Grants," available through Workforce3One at: [http://www.workforce3one.org/page/grants\\_toolkit](http://www.workforce3one.org/page/grants_toolkit).



To receive updated information about critical issues, new tips for users and other time sensitive updates as information is available, applicants may subscribe to "Grants.gov Updates" at [http://www.grants.gov/applicants/email\\_subscription\\_signup.jsp](http://www.grants.gov/applicants/email_subscription_signup.jsp).

If applicants encounter a problem with Grants.gov and do not find an answer in any of the other resources, call 1-800-518-4726 or 606-545-5035 to speak to a Customer Support Representative or email "[support@grants.gov](mailto:support@grants.gov)". The Contact Center is open 24 hours a day, seven days a week. It is closed on federal holidays.

**Late Applications:** For applications submitted on Grants.gov, only applications that have been successfully submitted no later than 4:00 p.m. Eastern Time on the closing date and then successfully validated will be considered. Applicants take a significant risk by waiting to the last day to submit by Grants.gov.

Any hard copy application received after the exact date and time specified for receipt at the office designated in this notice will not be considered, unless it is received before awards are made, it was properly addressed, and it was: (a) sent by U.S. Postal Service mail, postmarked not later than the fifth calendar day before the date specified for receipt of applications (e.g., an application required to be received by the 20th of the month must be postmarked by the 15th of that month); or (b) sent by professional overnight delivery service to the addressee not later than one working day before the date specified for receipt of applications. "Postmarked" means a printed, stamped or otherwise placed impression (exclusive of a postage meter machine impression) that is readily identifiable, without further action, as having been supplied or affixed on the date of mailing by an employee of the U.S. Postal Service. Therefore, applicants should request the postal clerk to place a legible hand cancellation "bull's eye" postmark on both the receipt and the package. Failure to adhere to these instructions will be a basis for a determination that the application was not filed timely and will not be considered. Evidence of timely submission by a professional overnight delivery service must be demonstrated by equally reliable evidence created by the delivery service provider indicating the time and place of receipt.

#### D. Intergovernmental Review

This funding opportunity is not subject to Executive Order 12372, "Intergovernmental Review of Federal Programs."

#### E. Funding Restrictions

All proposal costs must be necessary and reasonable and in accordance with Federal guidelines. Determinations of allowable costs will be made in accordance with the applicable Federal cost principles. Disallowed costs are those charges to a grant that the grantor agency or its representative determines not to be allowed in accordance with the applicable Federal cost principles or other conditions contained in the grant.

Applicants, whether successful or not, will not be entitled to reimbursement of pre-award costs.

#### 1. Indirect Costs

As specified in OMB Circular Cost Principles, indirect costs are those that have been incurred

for common or joint objectives and cannot be readily identified with a particular final cost objective. An indirect cost rate (ICR) is required when an organization operates under more than one grant or other activity, whether Federally-assisted or not. Organizations must use the ICR supplied by the Federal Cognizant Agency. If an organization requires a new ICR or has a pending ICR, the Grant Officer will award a temporary billing rate for 90 days until a provisional rate can be issued. This rate is based on the fact that an organization has not established an ICR agreement. Within this 90 day period, the organization must submit an acceptable indirect cost proposal to their Federal Cognizant Agency to obtain a provisional ICR.

## 2. Administrative Costs

Under this SGA, an entity that receives a grant to carry out a project or program may not use more than 10 percent of the amount of the grant to pay administrative costs associated with the program or project. Administrative costs could be direct or indirect costs, and are defined at 20 CFR-667.220. Administrative costs do not need to be identified separately from program costs on the SF-424A Budget Information Form. However, they must be tracked through the grantee's accounting system. To claim any administrative costs that are also indirect costs, the applicant must obtain an Indirect Cost Rate Agreement from its Federal Cognizant agency, as specified above.

## 3. Salary and Bonus Limitations

Funds awarded under this SGA may not be used by a recipient or sub-recipient of such funds to pay the salary and bonuses of an individual, either as direct costs or indirect costs, at a rate in excess of Executive Level II, except as provided for in section 101 (Section 2, Division D, Title I) of Public Law 111-117. The salary and bonus limitation does not apply to vendors providing goods and services as defined in OMB Circular A-133 (codified at 29 CFR Parts 96 and 99). See Training and Employment Guidance Letter number 5-06 for further clarification:  
[http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2262](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2262).

## 4. Intellectual Property Rights

The Federal Government reserves a paid-up, nonexclusive and irrevocable license to reproduce, publish, or otherwise use, and to authorize others to use for Federal purposes: i) the copyright in all products developed under the grant, including a subgrant or contract under the grant or subgrant; and ii) any rights of copyright to which the grantee, subgrantee or a contractor purchases ownership under an award (including but not limited to curricula, training models, technical assistance products, and any related materials). Such uses include, but are not limited to, the right to modify and distribute such products worldwide by any means, electronically or otherwise. The grantee may not use federal funds to pay any royalty or license fee for use of a copyrighted work, or the cost of acquiring by purchase a copyright in a work, where the Department has a license or rights of free use in such work. If revenues are generated through selling products developed with grant funds, including intellectual property, these revenues are program income. Program income is added to the grant and must be expended for allowable grant activities.

If applicable, the following needs to be on all products developed in whole or in part with grant funds:

"This workforce product was funded by a grant awarded by the U.S. Department of Labor's Employment and Training Administration. The product was created by the grantee and does not necessarily reflect the official position of the U.S. Department of Labor. The U.S. Department of Labor makes no guarantees, warranties, or assurances of any kind, express or implied, with respect to such information, including any information on linked sites and including, but not limited to, accuracy of the information or its completeness, timeliness, usefulness, adequacy, continued availability, or ownership. This product is copyrighted by the institution that created it. Internal use by an organization and/or personal use by an individual for non-commercial purposes is permissible. All other uses require the prior authorization of the copyright owner."

#### 5. Use of Grant Funds for Participant Wages

20 CFR 664.470 states that funds under WIA may be used to pay wages and related benefits for work experiences in the public; private for-profit; or non-profit sectors where the objective assessment and individual service strategy indicate that work experiences are appropriate. Payments to youth under WIA may take the form of wages or stipends. Grantees must pay stipends in accordance with the policies and procedures of the grantee organization, and maintain documentation on how the amount for the stipend was set and the parameters for its distribution. Grantees must also comply with the requirements of WIA section 181. Grantees providing wages or stipends to youth also should be aware of the income tax implications of the payments under IRS provisions. Please consult [www.irs.gov](http://www.irs.gov) for more information.

In addition, grantees are authorized to provide incentive payments. WIA Section 129 (a) (5) authorizes incentive payments to youth for recognition and achievement tied to training activities and work experiences. Incentive payments must be tied to the goals of the grant. The organization must have policies and procedures in place governing the award of incentives and the incentives provided under the grant must be in alignment with these organizational policies. In addition, incentive payments are generally considered miscellaneous compensation and are taxable. Please consult [www.irs.gov](http://www.irs.gov) for more information. Under this solicitation, grantees can use no more than 1.5% of the award for incentive payments.

Needs-related payments are a form of supportive services which are paid directly to individuals or to other entities to cover specific items of cost incurred by the participant for allowable services that enable the individual to participate in the activity or program. See 20 CFR 663.815. Up to 1.5% of DOL grant funds may be used to provide needs-related payments to assist participants with costs related to transportation, child care, food or other household items, such as paying a utility bill to prevent shut-off. Needs-related payment should be tied directly to the cost identified and must be documented to support both the participant's need for the service as well as the actual transaction. Needs-related payments may be in the form of stipends; but the stipends must be based on specific items of cost, not to "defray" expenses. Grantees must have a consistent standard and policy in place on the provision of needs-related payments.

#### F. Other Submission Requirements

**Withdrawal of Applications:** Applications may be withdrawn by written notice to the Grant Officer at any time before an award is made.

## **V. Application Review Information**

### **A. Evaluation Criteria**

This section identifies and describes the criteria that will be used for each category to evaluate grant proposals. The evaluation criteria are described below:

Criterion	Points
1. Need in the Area to be Served	10
2. Project Design <ul style="list-style-type: none"><li>a. Service Learning (15 points)</li><li>b. Educational Interventions (10 points)</li><li>c. Public Awareness (5 points)</li><li>d. Staff-to-Participant Ratio (5 points)</li><li>e. Career Development (15 points)</li><li>f. Post-Program Support and Follow-Up (5 points)</li></ul>	55
3. Partnerships with the Juvenile Justice System and Social Service Agencies	10
4. Organizational Capacity to Involve Youth in Service-Learning Projects	5
5. Organizational Capacity to Serve Youth Offenders	10
6. Organizational-Administrative and Fiscal Capacity	10
<b>TOTAL</b>	<b>100</b>

#### **1. NEED IN THE AREA TO BE SERVED (up to 10 points total)**

Up to 10 points will be awarded under this criterion based on the case the applicant makes in the proposal for the local need for the project. The strength of the case is based on the extent to which the applicant demonstrates a need for the grant in the geographic area to be served and the reliability of the data provided in support of that need with regard to the following:

- the rationale for choosing the geographic area to be served. As noted earlier, the geographic area can be a city, a county, a sub-area of a city or county, a set of contiguous counties, an Indian Reservation, a local workforce investment area, or other similar geographic area. The applicant must describe the area it proposes to serve along with its rationale for choosing that area;
- the extent of youth gangs in the area. Provide a full explanation and the source of your data;
- the resources currently available for serving returning juvenile offenders in the area. Provide a full explanation and the source of your data;
- the current gaps in services to juvenile offenders in the area. Provide a full explanation and the source of your data; and

- the extent to which there is a pool of eligible participants that is equal to or greater than the number of youth that the applicant proposes to serve in the geographic area. See section III D for definition of eligible participants. This information must be provided in chart form as an attachment with the following information:
  - the number of 18 to 21 year olds in the geographic area and the source of this information;
  - the number of eligible participants in the geographic area and the source of this information; and
  - the number of eligible participants that the applicant intends to serve with this grant and the source of this information.

**Applicants who propose to serve more participants than are eligible for service in the geographic area will receive 0 points for this criterion.**

## **2. PROJECT DESIGN (up to 55 points total)**

Describe how you will address the six project design components listed below. This criterion will be evaluated on the likely effectiveness of the project design as determined by the specific information, research, and analysis presented in support of the following:

### **Meaningful service-learning opportunities (up to 15 points)**

- the length of time the applicant will request youth to commit to the program;
- a description of the service-learning activities;
- the benefit to the community derived from the service-learning project;
- the proportion of time that participants will spend on service-learning projects versus educational interventions;
- whether participants will be working in teams;
- how the development of leadership skills and soft skills will be supported;
- how the threat of negative peer pressure will be handled; and
- how vocational skills will be integrated into the service-learning project.

### **Educational interventions that lead to placement opportunities in post-secondary education and vocational training that leads to industry-recognized credentials in demand industries in the geographic area to be served. (up to 10 points)**

- the extent to which the applicant has a comprehensive set of interventions to address the varying academic levels of participants;
- the extent to which the educational interventions will lead to the attainment of a high school diploma or GED, placement in post-secondary education, or the attainment of industry-recognized credentials in demand industries in the geographic area to be served; and
- the extent to which applicants will offer vocational training that leads to industry-recognized credentials in demand industries in their geographic area to be served. Applicants should provide Bureau of Labor Statistics data and information obtained by their local economic development organization and Workforce Investment Board that supports their proposal.

**Community awareness of the youth's service projects that rebuilds the community's trust in the youth and enables the community to view the youth as assets rather than liabilities (up to 5 points)**

- the extent to which the applicant will coordinate with local organizations and individuals in developing the service-learning projects for program participants;
- the extent to which the applicant incorporates the needs of the community in the development of work-skills for the participant;
- the ways recognition will be given within the community to program participants when the project is completed;
- the extent to which the programs will instill a sense of community responsibility of the participants served; and
- the extent to which programs will develop ways for the community to recognize the participants who worked on projects, once the projects are completed; how the applicant will work with the community to help support further positive community involvement by the participants.

**High Staff-to-Participant Ratio, including Close Adult Supervision on Service-Learning Projects (up to 5 points)**

- the ratio of the number of participants to the number of supervisors and staff;
- the extent to which the staffing level is sufficient to operate a quality program and to teach positive work attitudes to participants;
- the extent to which the qualifications that will be required for staff positions are sufficient to operate a quality program;
- the likelihood the staffing pattern or referral plan ensures safe project sites and strong case management support to program participants; and
- the extent to which case management will be provided either directly with grant funds or through referrals to partner agencies to address the barriers to employment of participants, including such things as a lack of transportation and childcare, substance abuse and mental health issues, and history of family instability.

**Career Development (up to 15 points)**

- how planned partnerships with employers, the local workforce system's One-Stop Career Centers, community colleges, and four-year colleges will effectively provide the services proposed;
- how career development will be integrated into educational offerings; and
- how career development will be connected to service-learning projects.

**Post-Program Support and Follow-Up (up to 5 points)**

- the post-program support that the applicant plans to provide;
- the strategy that will be used to stay in contact with participants after they have left the program;
- the planned coordination and contact with employers, the local workforce development agency, local community colleges and four-year colleges to support retention in long-term placements in employment, education and in other career development opportunities in which they are placed; and

- the length of the follow-up period included in the period of performance of the grant.

### 3. PARTNERSHIPS WITH THE JUVENILE JUSTICE SYSTEM AND SOCIAL SERVICE AGENCIES (up to 10 points total)

The points for Required Partnerships will be rated based on the comprehensiveness of the responses and the evidence provided of the following:

- the progress made and extent to which the applicant has received commitments from juvenile correctional facilities to refer eligible youth about to be released;
- the progress made and extent to which the applicant has received commitments from the local juvenile justice system and courts to refer eligible youth and to coordinate services to program participants with juvenile probation officers;
- the progress made and extent to which the applicant has received commitments from drug and alcohol abuse treatment centers, and social service agencies to provide supportive services that program participants may need.
- the progress made and extent to which the applicant has received commitments from an existing network of county or regional social service agencies funded by state or federal resources that provide services to ex-offenders, where these networks exist. Applicants must indicate how this grant funded effort fits into that network of service agencies and how it will be supported by that network.

Applicants must provide evidence of progress made in developing these partnerships, such as dates and attendees of meetings held. Letters of commitment and memorandums of understanding may be included as evidence of expected partnerships.

### 4. ORGANIZATIONAL CAPACITY TO INVOLVE YOUTH IN SERVICE-LEARNING PROJECTS (up to 5 points total)

The points for organizational capacity to involve youth in service-learning projects will be based on the comprehensiveness of the responses and the reliability of the information provided in support of your descriptions of the following:

- your experience operating programs that provide a service to the community;
- the number of participants involved in the program(s) described in a typical year;
- the extent to which your organization's service-learning projects provide a needed service that benefit the local community and provide work-based skills to participants; and
- the extent to which you have partnerships with other organizations that can provide service-learning opportunities.

### 5. ORGANIZATIONAL CAPACITY TO SERVE YOUTH OFFENDERS (up to 10 points total)

The points for organizational capacity to serve youth offenders will be rated based on the comprehensiveness of the responses and the evidence provided to the following:

- Discuss the length of time and the specific experience the organization has in operating programs for ex-offenders (up to 4 points).
- Performance Chart: As an attachment to the technical proposal, all applicants should provide information on past grant performance as required by the grantor, using the category below that is applicable for your organization. All information must be submitted in chart format (up to 4 points):

- Youth RExO Applicants – If you have completed an ETA youth RExO grant within the last four years (on or after January 1, 2008), you must, with respect to the most recently-completed youth RExO grant only, provide past grant performance goals established by DOL and the actual grant outcomes obtained for 1) enrollment, and 2) placement (in employment, including the military or in post-secondary education and/or advanced training/occupational skills training). If you have not completed an ETA youth RExO grant within the past four years, you must use data from a completed grant using the instructions in the category below for Youth Non-RExO applicants.
- Youth Non-RExO Applicants: If you have not completed an ETA youth RExO grant within the last four years, you must provide information with respect to the grant that you completed most recently within the last four years (on or after January 1, 2008) in which you served youth ex-offenders. This may include a program or project that was funded by one or more foundations, or non-grant funds such as individual donations and contributions. Specifically, you must select and provide two goals required by the grantor(s) and the actual outcomes obtained.

All applicants may reference only one project that was completed within the last four years, as described above. In the attachment, applicants must also provide the project grant number along with the name, title, organization, email address and telephone number of an individual from the previous grantor entity or agency who had oversight for the program referenced above and can verify the information stated by the applicant. If the goals, outcomes obtained and contact information are not provided in the attachment for the selected project, the applicant will receive 0 points for this sub-criterion.

Applicants who demonstrate that they have exceeded their reported project goals will receive the full 4 points for this sub-criterion. Applicants who met, but did not exceed, their reported project goals will receive 3 points for this sub-criterion. Applicants who met only one project goal, but exceeded that goal, will receive 2 points for this sub-criterion. Applicants who met only one goal and did not exceed that goal will receive 1 point for this sub-criterion. Applicants who did not meet either goal will receive 0 points for this sub-criterion.

**ETA reserves the right to confirm this information for all applicants.**

- Performance Narrative: Explain the circumstance for the project referenced above related to meeting the stated enrollment and placement goals or the reasons that prevented you from meeting those goals. Applicants should discuss the systems in place that allowed the applicant to meet its goals or for those applicants who did not meet their goals, explain how those challenges were overcome to make the project as successful as possible. Points will be determined based on the level of success indicated by the evidence provided. **(up to 2 points)**

#### **6. ORGANIZATIONAL ADMINISTRATIVE AND FISCAL CAPACITY (up to 10 points total)**

The points for organizational administration and fiscal capacity will be rated based on the comprehensiveness of the responses and the evidence provided to the following:



- the strength of your organization's administrative structure. In providing this response, describe the administrative structure **(up to 2 points)**;
- the strength of the fiscal controls you currently have in place. In providing this response, describe the fiscal controls **(up to 2 points)**;
- the ability of the fiscal controls in place to effectively resolve negative audit findings. If applicable, discuss the positive and negative findings from the applicant's three most recent OMB Circular A-133 audits, and the resolution of negative findings. (Applicants must provide the Department with these audits if requested) **(up to 2 points)**; and
- Timely Reporting: In chart format as an attachment to the technical proposal, all applicants must provide the two most recent grant reports due dates and the actual dates submitted for the grant project identified above in the past grant performance goals criterion. These reports can be either program, financial or other reports required by the grant. **(up to 4 points)**

If these dates are not provided in the attachment applicants will receive 0 points for this sub-criterion. Applicants who demonstrate that they met both due dates will receive 4 points for this sub-criterion. Applicants who demonstrate that they met only one due date will receive 2 points for this sub-criterion. Applicants that did not meet any of the due dates will receive 0 points for this sub-criterion.

If the contact person from the grantor entity or agency who can verify timely submission of reports differs from the contact person verifying past grant performance goals and actual grant outcomes, you must submit the name, title, email address and telephone number for this additional individual. Include this information in the attachment for this sub-criterion.

**ETA reserves the right to confirm this information with the contact person described above for all applicants.**

#### **B. Review and Selection Process**

Applications for grants under this Solicitation will be accepted after the publication of this announcement and until the specified time on the closing date. A technical review panel will carefully evaluate applications against the selection criteria. These criteria are based on the policy goals, priorities, and emphases set forth in this SGA. Up to 100 points may be awarded to an application, depending on the quality of the responses to the required information described in section V.A. The ranked scores will serve as the primary basis for selection of applications for funding, in conjunction with other factors such as geographic balance; the availability of funds; and which proposals are most advantageous to the government. If the verification process outlined in V. A. 5 and 6 does not confirm the applicant's information, that information may affect the selection process. The panel results are advisory in nature and not binding on the Grant Officer. The Grant Officer may consider any information that comes to his/her attention. The government may elect to award the grant(s) with or without discussions with the applicant. Should a grant be awarded without discussions, the award will be based on the applicant's signature on the SF-424, including electronic signature via E-Authentication on <http://www.grants.gov>, which constitutes a binding offer by the applicant.

## **VI. Award Administration Information**

### **A. Award Notices**

All award notifications will be posted on the ETA Homepage (<http://www.doleta.gov>).

Applicants selected for award will be contacted directly before the grant's execution. Non-selected applicants will be notified by mail or email and may request a written debriefing on the significant weaknesses of their proposal.

Selection of an organization as a grantee does not constitute approval of the grant application as submitted. Before the actual grant is awarded, ETA may enter into negotiations about such items as program components, staffing and funding levels, and administrative systems in place to support grant implementation. If the negotiations do not result in a mutually acceptable submission, the Grant Officer reserves the right to terminate the negotiations and decline to fund the application. DOL reserves the right to not fund any application related to this SGA.

### **B. Administrative and National Policy Requirements**

#### **1. Administrative Program Requirements**

All grantees will be subject to all applicable Federal laws, regulations, and the applicable OMB Circulars. The grant(s) awarded under this SGA will be subject to the following administrative standards and provisions:

- i. Non-Profit Organizations – OMB Circular A-122 (Cost Principles), relocated to 2 CFR Part 230, and 29 CFR Part 95 (Administrative Requirements)
- ii. Educational Institutions – OMB Circular A-21 (Cost Principles), relocated to 2 CFR Part 220, and 29 CFR Part 95 (Administrative Requirements).
- iii. State, Local and Indian Tribal Governments – OMB Circular A-87 (Cost Principles), relocated to 2 CFR Part 225, and 29 CFR Part 97 (Administrative Requirements).
- iv. Profit Making Commercial Firms – Federal Acquisition Regulation (FAR) – 48 CFR part 31 (Cost Principles), and 29 CFR Part 95 (Administrative Requirements).
- v. All Grant Recipients must comply with the applicable provisions of The Workforce Investment Act of 1998, Public Law No. 105-220, 112 Stat. 936 (codified as amended at 29 U.S.C. 2801 et seq.) and the applicable provisions of the regulations at 20 CFR 660 et seq. Note that 20 CFR part 667 (General Fiscal and Administrative Rules) includes unsuccessful applicant appeal information.
- vi. All entities must comply with 29 CFR Part 93 (New Restrictions on Lobbying), 29 CFR Part 94 (Governmentwide Requirements for Drug-Free Workplace (Financial Assistance)), 29 CFR 95.13 and Part 98 (Governmentwide Debarment and Suspension, and drug-free workplace requirements), and, where applicable, 29 CFR Part 96 (Audit Requirements for Grants, Contracts, and Other Agreements) and 29 CFR Part 99 (Audits of States, Local Governments and Non-Profit Organizations).
- vii. 29 CFR Part 2, subpart D—Equal Treatment in Department of Labor Programs for Religious Organizations, Protection of Religious Liberty of Department of Labor Social Service Providers and Beneficiaries.
- viii. 29 CFR Part 31—Nondiscrimination in Federally Assisted Programs of the Department of Labor—Effectuation of Title VI of the Civil Rights Act of 1964.
- ix. 29 CFR Part 32—Nondiscrimination on the Basis of Handicap in Programs or Activities Receiving Federal Financial Assistance.
- x. 29 CFR Part 35— Nondiscrimination on the Basis of Age in Programs or Activities

Receiving Federal Financial Assistance from the Department of Labor.

xi. 29 CFR Part 36—Nondiscrimination on the Basis of Sex in Education Programs or Activities Receiving Federal Financial Assistance.

xii. 29 CFR Part 37 – Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Investment Act of 1998.

xiii. 29 CFR Parts 29 and 30—Labor Standards for the Registration of Apprenticeship Programs, and Equal Employment Opportunity in Apprenticeship and Training, as applicable.

## 2. Other Legal Requirements:

### i. Religious Activities

The Department notes that the Religious Freedom Restoration Act (RFRA), 42 U.S.C. Section 2000bb, applies to all Federal law and its implementation. If your organization is a faith-based organization that makes hiring decisions on the basis of religious belief, it may be entitled to receive Federal financial assistance under Title I of the Workforce Investment Act and maintain that hiring practice even though Section 188 of the Workforce Investment Act contains a general ban on religious discrimination in employment. If you are awarded a grant, you will be provided with information on how to request such an exemption.

### ii. Lobbying or Fundraising the U.S. Government with Federal Funds

In accordance with Section 18 of the Lobbying Disclosure Act of 1995 (Public Law 104-65) (2 U.S.C. 1611), non-profit entities incorporated under Internal Revenue Service Code Section 501(c) (4) that engage in lobbying activities are not eligible to receive Federal funds and grants. No activity, including awareness-raising and advocacy activities, may include fundraising for, or lobbying of, U.S. Federal, State or Local Governments (see OMB Circular A-122).

### iii. Transparency Act Requirements

Applicants must ensure that they have the necessary processes and systems in place to comply with the reporting requirements of the Federal Funding Accountability and Transparency Act of 2006 (Pub. Law 109-282, as amended by section 6202 of Pub. Law 110-252) (Transparency Act), as follows:

- All applicants, except for those excepted from the Transparency Act under sub-paragraphs 1, 2, and 3 below, must ensure that they have the necessary processes and systems in place to comply with the subaward and executive total compensation reporting requirements of the Transparency Act, should they receive funding.
- Upon award, applicants will receive detailed information on the reporting requirements of the Transparency Act, as described in 2 CFR Part 170, Appendix A, which can be found at the following website: <http://edocket.access.gpo.gov/2010/pdf/2010-22705.pdf>

The following types of awards are not subject to the Federal Funding Accountability and Transparency Act:

- (1) Federal awards to individuals who apply for or receive Federal awards as natural persons (i.e., unrelated to any business or non-profit organization he or she may own or operate in his or her name);
- (2) Federal awards to entities that had a gross income, from all sources, of less than \$300,000 in the entities' previous tax year; and
- (3) Federal awards, if the required reporting would disclose classified information.

#### iv. Safeguarding Data Including Personally Identifiable Information

Applicant's submitting proposals in response to this SGA must recognize that confidentiality of sensitive data is of paramount importance to the Department of Labor and must be observed except where disclosure is allowed by the prior written approval of the Grant Officer or by court order. By submitting a proposal, Grantees are assuring that all data exchanges conducted through or during the course of performance of this grant will be conducted in a manner consistent with applicable Federal law. All such activity conducted by ETA and/or Grantee/s will be performed in a manner consistent with applicable state and Federal laws.

By submitting a grant proposal, the applicant agrees to take all necessary steps to protect such confidentiality by complying with the following provisions that are applicable in governing their handling of confidential information:

1. Grantees shall not extract information from data supplied by DOL/ETA for any purpose not stated in the SGA.
2. Grantees shall retain data received from DOL/ETA only for the period of time required to use it for assessment and other purposes, or to satisfy applicable federal records retention requirements, if any. Thereafter, the Grantee agrees that all data will be destroyed, including the degaussing of magnetic tape files and permanent deletion of electronic data.
3. Grantees shall ensure that any information used during the performance of this Grant has been obtained and is being transmitted in conformity with applicable Federal and state laws governing the confidentiality of information. Information transmitted to DOL/ETA containing sensitive information including personally identifiable information (PII) must be encrypted using National Institute of Standards and Technology (NIST) Federal Information Processing Standards (FIPS) 140-2 validated products. The encrypted information must be encrypted in a form that would allow the receiver of the information to decrypt the information without installing additional software or tools.
4. Access to any information created by DOL/ETA shall be restricted to only those employees of the Grant recipient who need it in their official capacity to perform duties in connection with the Scope of Work outlined in this SGA.
5. Grantee employees and other personnel who will have access to sensitive/confidential/proprietary/private data shall be advised of the confidential nature of the information, the safeguards required to protect the information, and the civil and criminal sanctions for noncompliance with such safeguards that are contained in Federal and state laws.
6. Prior to being able to have access to confidential data, Grantee employees and other personnel shall execute a standard document acknowledging their understanding of the confidential nature of the data and the safeguards with which they must comply in their handling of such data as well as the fact that they may be liable to civil and criminal sanctions for improper disclosure.
7. Grantees further acknowledge that all data obtained through DOL/ETA shall be stored in an area that is physically safe from access by unauthorized persons at all times and the data will be processed using grantee issued equipment, managed information technology (IT) services, and designated locations approved by DOL/ETA. Accessing, processing,

and storing of DOL/ETA data on personally owned equipment, at off-site locations e.g. employee's home, and non-Grantee managed IT services e.g. free electronic mail (or "email") providers, is strictly prohibited unless approved by DOL/ETA.

8. All data shall be processed in a manner that will protect the confidentiality of the records/documents and is designed to prevent unauthorized persons from retrieving such records by computer, remote terminal or any other means. Data may be downloaded to, or maintained on, mobile or portable devices only if the data are encrypted using NIST FIPS 140-2 validated products. In addition, wage data may only be accessed from secure locations.
9. Data obtained by the Grantee through a request shall not be disclosed to third parties except as permitted by the Grant Officer.
10. Grantees shall permit ETA to make onsite inspections during regular business hours for the purpose of conducting audits and/or to conduct other investigations to assure that the Grantee is complying with the confidentiality requirements described above. In accordance with this responsibility, Grantees shall make records applicable to this Agreement available to authorized persons for the purpose of inspection, review, and/or audit.
11. Grantees shall take the steps necessary to ensure the privacy of all PII obtained from participants and/or other individuals and to protect such information from disclosure to unauthorized individuals. Grantees shall maintain such PII in accordance with the DOL/ETA standards for information security provided herein, including any updates to such standards provided to the Grantee by DOL/ETA. Grantees shall report immediately to the DOL ETA Information Security Officer (ISO) any suspected or confirmed breaches or compromise of PII obtained from participants and/or other individuals.

### 3. Other Administrative Standards and Provisions

Except as specifically provided in this SGA, DOL/ETA's acceptance of a proposal and an award of Federal funds to sponsor any programs(s) does not provide a waiver of any grant requirements and/or procedures. For example, the OMB Circulars require that an entity's procurement procedures must ensure that all procurement transactions are conducted, as much as practical, to provide open and free competition. If a proposal identifies a specific entity to provide services, the DOL's award does not provide the justification or basis to sole source the procurement, i.e., avoid competition, unless the activity is regarded as the primary work of an official partner to the application.

### 4. Special Program Requirements

A. Evaluation. DOL may require that the program or project participate in a formal evaluation of overall grant performance. To measure the impact of the grant program, DOL may conduct an independent evaluation of the outcomes and benefits of the projects. By accepting the grant funds, the grantee agrees to make individual records on participants, employers and funding available to the evaluator(s) under the direction of DOL with appropriate measures to protect the confidentiality of participant. Please note this evaluation may make use of program Management Information System (MIS) data, local administrative data on crime and recidivism, and program progress reports. DOL recognizes that there will be limitations on this cooperation due to State confidentiality requirements on data on individual offenders. It is critical that the grantee keep this information up to date and accurate for both performance measurement and evaluation

purposes.

B. Performance Goals. These grants will be subject to performance goals measuring their progress in meeting the goals of the grants. National goals will be set after grant award in the following areas reflecting an aggregate of grants' goals:

- The placement rate of participants including placement in employment, post-secondary institutions, advanced training, or occupational skills training;
- The retention of participants in employment and education placements in the quarter after program completion;
- The recidivism rate of young adult offenders served; and
- The rate at which participants receive high school diplomas and industry-recognized credentials.

C. Reporting. Grantees must agree to meet DOL reporting requirements. Quarterly financial reports, quarterly progress reports, including required data regarding performance goals, and MIS data must be submitted by the grantee electronically. The grantee is required to provide the reports and documents listed below:

1. Quarterly Financial Reports

A Quarterly Financial Status Report (ETA 9130) is required until such time as all funds have been expended or the grant period has expired. Quarterly reports are due 45 days after the end of each calendar year quarter. Grantees must use DOL's Online Electronic Reporting System and information and instructions will be provided to grantees.

2. Quarterly Performance Reports

The grantee must submit a quarterly progress report within 45 days after the end of each calendar year quarter. The report must include quarterly information regarding grant activities. The last quarterly progress report that grantees submit will serve as the grant's Final Performance Report. This report should provide both quarterly and cumulative information on the grant activities and performance goals. It must summarize project activities, employment outcomes and other deliverables, and related results of the project, and should thoroughly document the training or labor market information approaches used by the grantee. DOL will provide grantees with formal guidance about the data and other information that is required to be collected and reported on either a regular basis or special request basis. Grantees must agree to meet DOL reporting requirements.

3. Management Information System (MIS) Reports. Organizations will be required to submit updated MIS data within 45 days after the end of each quarter based on a DOL template that will require quarterly, year-to-date, and program-to-date information on participant demographics at time of enrollment, participants services provided, and interim and long-term participant outcomes. This reporting will require information on post-placement follow-up and tracking of participants.

4. Record Retention

Applicants must be prepared to follow Federal guidelines on record retention, which require grantees to maintain all records pertaining to grant activities for a period of not less than three years from the time of final grant close-out.

## **VII. Agency Contacts**

For further information about this SGA, please contact Denise Roach, Grants Management Specialist, Division of Federal Assistance, at (202) 693-3820. Applicants should e-mail all technical questions to [roach.denise@dol.gov](mailto:roach.denise@dol.gov) and must specifically reference SGA/DFA PY-11-03, and along with question(s), include a contact name, fax and phone number. This announcement is being made available on the ETA Web site at <http://www.doleta.gov/grants> and at <http://www.grants.gov>.

## **VIII. Additional Resources of Interest to Applicants**

### **A. Web-Based Resources**

DOL maintains a number of web-based resources that may be of assistance to applicants. For example, the CareerOneStop portal (<http://www.careeronestop.org>), provides tools to help job seekers explore careers, investigate salary and benefit information, research education and training opportunities, plan a job search and browse job sites, write and improve resumes and cover letters, and prepare for a job interview; the Occupational Information Network (O\*NET) Online (<http://online.onetcenter.org>) supports workers and students in career planning by accessing key data for identifying and developing workplace skills; and America's Service Locator (<http://www.servicelocator.org>), connects people to local offices providing employment and training services, and provides maps and driving directions to the nearest One Stop Career Center and unemployment insurance filing assistance. America's Service Locator has information on more than 20,000 local resources and offices.

### **B. Industry Competency Models and Career Clusters**

ETA supports an Industry Competency Model Initiative to promote an understanding of the skill sets and competencies that are essential to an educated and skilled workforce. A competency model is a collection of competencies that, taken together, define successful performance in a particular work setting. Competency models serve as a starting point for the design and implementation of workforce and talent development programs. To learn about the industry-validated models, visit the Competency Model Clearinghouse (CMC) at <http://www.careeronestop.org/CompetencyModel>. The CMC site also provides tools to build or customize industry models, as well as tools to build career ladders and career lattices for specific regional economies.

Career Clusters and Industry Competency Models both identify foundational and technical competencies, but their efforts are not duplicative. The National Career Clusters™ Framework provides a structure for organizing and delivering quality Career Technology Education programs through comprehensive programs of study (POS). As an organizing tool for curriculum design and instruction, this national framework provides the essential knowledge and skills for the 16 Career Clusters™ and their Career Pathways. It also functions as a useful guide in developing programs of study bridging secondary and postsecondary curriculum and for creating individual student plans of study for a complete range of career options.

Information about the sixteen career cluster areas can be found by accessing [www.careerclusters.org](http://www.careerclusters.org).

### **C. Workforce3One Resources**

ETA encourages applicants to view the information gathered through the conference calls with Federal agency partners, industry stakeholders, educators, and local practitioners. The information on resources identified can be found on Workforce3One.org at: <http://www.workforce3one.org/view/2001008333909172195/info>.

#### D. My Next Move

My Next Move, (<http://mynextmove.dol.gov>) is a new online tool intended to assist all job seekers, but may be especially useful for students, young adults and other first-time workers as they explore potential careers.

The new website allows users to search by occupation, by industry and using the O\*NET Interest Profiler, which matches an individual's interests with suitable occupations by asking 60 questions. Users can also search for occupations in three categories: careers with a "bright outlook" in growing industries, occupations that are part of the "green" economy and occupations that have a Registered Apprenticeship program.

Each occupation that a user selects has an easy-to-read, one-page profile, including information about what knowledge, skills and abilities are needed; the occupation's outlook; the level of education required; technologies used within the occupation; and other, similar jobs. In addition, each occupation profile includes direct links to local salary information, training opportunities and relevant job openings.

#### E. my Skills my Future

The website (<http://myskillsmyfuture.org>) enables job seekers to match their occupational skills and experience with the skills needed in other occupations. This is a self-help website to help those individuals who are in transition and want to seek out new opportunities or looking for their next career opportunity. Along with possible education and training in those fields, it also can be used by organizations in an effort to help retain current employees.

The site also has links to job openings, specific training/education information and links to the skills required for specific jobs.

ETA encourages applicants to view the online tutorial, "Grant Applications 101: A Plain English Guide to ETA Competitive Grants," available through Workforce3One at: [http://www.workforce3one.org/page/grants\\_toolkit](http://www.workforce3one.org/page/grants_toolkit).

### **IX. Other Information**

OMB Information Collection No. 1225-0086

OMB Information Collection No 1225-0086, Expires November 30, 2012.

According to the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless such collection displays a valid OMB control number. Public reporting burden for this collection of information is estimated to average 20 hours per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments about the burden estimated or any other aspect of this collection of information, including suggestions for reducing this burden, to the U.S. Department of Labor, to the attention of the Departmental Clearance Officer, 200 Constitution Avenue NW, Room N1301,



Washington, DC 20210. Comments may also be emailed to DOL\_PRA\_PUBLIC@dol.gov.  
PLEASE DO NOT RETURN THE COMPLETED APPLICATION TO THIS ADDRESS.  
SEND IT TO THE SPONSORING AGENCY AS SPECIFIED IN THIS SOLICITATION.

This information is being collected for the purpose of awarding a grant. The information collected through this "Solicitation for Grant Applications" will be used by the Department of Labor to ensure that grants are awarded to the applicant best suited to perform the functions of the grant. Submission of this information is required in order for the applicant to be considered for award of this grant.

Signed February 16, 2012, in Washington, D.C. by:

Latifa Jeter  
Grant Officer, Employment and Training Administration

# **PART I**

## **STATEMENT OF WORK**

**(The awardee's technical proposal is incorporated as the Statement of Work.**

**If there is a discrepancy between this technical proposal and any DOL guidance or cost principle, the DOL guidance or cost principle will prevail.**

**The grantee must confirm that all costs are allowable before expenditure.)**

### **Abstract**

The Honolulu Adult Ex-Offender Program (HAEO) will operate in the City and County of Honolulu. The largest in population of the four counties in the State of Hawaii, Honolulu encompasses the entire island of Oahu. It is the State's center for commerce, transportation, communication and higher education.

The HAEO will provide a minimum of 110 young ex-offenders, ages 18 to 21 the education to attain a high school diploma and skills training to obtain an entry-level job with a career pathway in one of the ten top industries as well as connect them to further education through college, advanced training and apprenticeships in the sectors of future job growth.

The Program has partnerships with the juvenile justice system such as Honolulu Police Department, Family and Adult Courts – Client Services Branches, Hawaii State Department of Attorney General, City Prosecutor's Office, and the Hawaii State-Office of Youth Services (OYS) which oversees the only Hawaii Youth Correctional Facility. Furthermore, the Program will partner with the following non-profits, community college and a state agency to provide services: Adult Friends for Youth will provide counseling for gang members and ex-offenders; Hawaii State Department of Human Services will provide financial cash assistance, food stamps benefits, child care and education, training and work activities and support services. Hina Mauka will provide substance treatment; HCAP will provide an alternative high school diploma program and other pertinent services; LCC-OCEWD will provide workforce development training and other relevant services; The Institute For Family Enrichment will provide mental health counseling and parenting classes; and the Volunteer Legal Services Hawaii will provide legal services and advisement.

Also, the program will provide meaningful service-learning projects through government agencies, community organizations and businesses provided through the Network of Partners of the Oahu Workforce Investment Board and Honolulu's one stop career centers, Oahu WorkLinks. Examples of projects including, but not limited to, restoration of wetlands through the Hawaii State Department of Land and Natural Resources, facility maintenance at the YMCA Camp Erdman and graffiti removal with the Honolulu

Police Department will be implemented to help the enrollees build a sense of community responsibility and rebuild their relationships with community members. Also, projects will be implemented with employers to teach job skills needed for demand industries: (1) professional and business services - account clerk at Continental Mechanical of the Pacific, (2) trade, transportation and utilities – warehouse helper at Pacific Commercial Services, (3) food service and hospitality – cashier Cheesecake Factory – Waikiki, (4) construction laborer at Agsalud Construction Company and (5) manufacturing – plant worker at Reynold's Recycling. Every enrollee will participate in leadership and soft skills training prior to participating in service-learning opportunities.

## 1. Need in the Area to Be Served

The Honolulu Adult Ex-Offender Program (HAEO) will operate in the City and County of Honolulu (Honolulu). The largest in population of the four counties in the State of Hawaii, Honolulu encompasses the entire island of Oahu. It is the State's center for commerce, transportation, communication and higher education. Honolulu's population of 953,207<sup>1</sup> comprises 71% of the State's entire population and is composed of numerous ethnicities. Honolulu is known for its beautiful beaches and sunsets and its friendly acceptance of others called the "aloha spirit" however; the overall high cost of living which is 68% more than the national average<sup>2</sup> creates a heavy burden on island residents to establish and maintain their self-sufficiency. Consequently, at least 7% of Hawaii's residents hold multiple jobs which is 2.4% above the national average<sup>3</sup> and many generations of families live together due to the high cost of housing which is 153% above the national average<sup>4</sup>. These factors create stressful living environments for young offenders returning to their homes from incarceration or detention. Unfortunately, 41 programs that assist many of Honolulu's neediest residents including ex-offenders had their funding drastically reduced by a \$84 million budget cut by the 2011 Hawaii State Legislature.<sup>5</sup> This funding cut is in place until June 2014.<sup>6</sup> The HAEO will provide ex-offenders with supportive services such as substance treatment, legal services and access to health and mental services including parenting classes to help them overcome or minimize issues that interfere with their ability to establish and strive towards attaining educational and employment goals. The State Department of Labor & Industrial Relations (DLIR) predicted growth in the labor market through 2018. Long and short term industry projections predict more than 90% of Hawaii's job growth will be concentrated

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<sup>1</sup> U.S. Census Bureau, 2010.

<sup>2</sup> Council for Community and Economic Research, April 2012.

<sup>3</sup> 2010 U.S. Bureau of Labor Statistics, September 2011.

<sup>4</sup> Council for Community and Economic Research, April 2012.

<sup>5</sup> Tim Sakahara (February 2011) Non-profits hit hard by state budget cuts, Hawaii News Now.

<sup>6</sup> Ibid.

in five major industry sectors: education and health services; trade, transportation and utilities; hospitality and food, government; and professional and business services.<sup>7</sup> Other industries with future job growth are social assistance, construction, financial activities, information and manufacturing.<sup>8</sup> It is more imperative than ever for Honolulu's young ex-offenders to receive post-secondary education or specialized occupational training in order to succeed in our emerging economy. With more employment opportunities requiring education and training beyond high school, unskilled ex-offender workers will have a harder time finding a job that pays a living wage, which for one adult is estimated at \$13.85 and one adult with one child at \$23.61.<sup>9</sup> The HAEO will provide young ex-offenders the education to attain a high school diploma and skills training to obtain an entry-level job with a career pathway in one of the ten top industries as well as connect them to further education through college, advanced training and apprenticeships in the sectors of future job growth.

According to Mr. John Parker, Gang Analyst for the Western States Information Network, a national intelligence system utilized by law enforcement agencies to obtain information on gangs there are 24 Oahu gangs involving 245 adults, up to age 24 and 151 juveniles, ages 12 to 17. Majority of the gang activity occur in urban Honolulu areas mostly at public housing sites (April 2012). According to Ms. Deborah Spencer-Chun, President and CEO of Adult Friends for Youth, a non-profit specializing in work with gangs, in 2011, AFY worked with 30 Oahu gangs involving 465 individuals; and in 2012, with 25 gangs involving 460 individuals. The HEAO through AFY will provide gang intervention and counseling to keep ex-offenders from further involvement in the justice system.

Last year's \$84-million state budget cut drastically reduced the availability of training and support services for juvenile offenders on probation or parole, in a diversion program or under an alternative

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<sup>7</sup> Hawaii State Department of Labor & Industrial Relations, July 2011.

<sup>8</sup> Ibid.

<sup>9</sup> Living Wage Calculation for Honolulu, <http://www.livingwage.geog.psu.edu/counties/15033>, April 2012

sentencing program such as Susannah Wesley Community Center<sup>10</sup>. For the next two fiscal years, Honolulu's government agencies and non-profits will continue to offer the aforementioned population the following assistance with meager state-funded budgets and less staffing: (1) pre-employment training and work experience, (2) domestic violence shelter services, (3) home-based parenting and family counseling, (4) basic skills remediation and (5) substance abuse treatment services<sup>11</sup>. In the first quarter of 2010, Hawaii economy was beginning to feel some economic recovery after two years of decline and this upturn will continue for the next few years with an annual job growth of around 1.0%<sup>12</sup>. However, given a recent survey conducted by the Hawaii Appleseed Center for Law and Economic Justice (April 2012) it does not appear that the State Legislature will be restoring funding levels for social services programs within the next four years. Parallel to the state reduction is the federal reduction in funds for the Workforce Investment Act of 1998 (WIA) which funds the City and County of Honolulu's one stop career centers, Oahu WorkLinks (OWL). The OWL administered through the City Department of Community Services (DCS) provides services for job seekers and employers. Each year, since 9/11, DCS estimates WIA funding has decreased 10% annually while Honolulu's annual unemployment rate has steadily increased with a significant spike from 2008 (3.6%) to 2009 (5.8%)<sup>13</sup>. Consequently, each year the number of job seekers requesting OWL services increase despite the steady decline in funding. The current annual unemployment rate remains virtually unchanged at 5.7% (2011)<sup>14</sup>. The HAEO implemented through DCS enables Honolulu's WIA funding to be leveraged with this grant to increase services and training available for young ex-offenders and to maximize the use of these grant funds.

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<sup>10</sup> Tim Sakahara (February 2011) *Non-profits hit hard by state budget cuts*, Hawaii News Now.

<sup>11</sup> State of Hawaii, Department of Human Services, Benefit, Employment, and Support Services Division, Report to the Twenty-Sixth Hawaii State Legislature, December 2011.

<sup>12</sup> Enterprise Honolulu, [www.enterprishonolulu.com/index.php/economicoverview/economicconditions](http://www.enterprishonolulu.com/index.php/economicoverview/economicconditions), April 2012

<sup>13</sup> State of Hawaii, Department of Labor & Industrial Relations, Hawaii Workforce Infonet Local Area Unemployment Statistics.

<sup>14</sup> Ibid.

In 1989, The Hawaii State Office of Youth Services (OYS) was established to provide and coordinate a continuum of services and programs in every county for youth at-risk to prevent delinquency and reduce the incidence of recidivism; and to manage and operate the State's only Hawaii Youth Correctional Facility (HYCF). The 2010 OYS Annual Report reveals all youth funds are presently used for the following service areas: (1) positive youth development for in-school youth, (2) youth gang prevention and intervention for ages 11-18, (3) truancy prevention and in-school suspension, (4) attendant care for status offenders and non-violent law violators up to age 17, (5) community-based outreach and advocacy for in-school youth, (6) community-based residential services for youth up to age 22 and (7) the HYCF that provides care and custody for youth up to age 19. According to Mr. Ed Chargualaf, OYS Project Specialist, no OYS funds are used for the primary purpose of helping young ex-offenders earn an alternate competency-based high school diploma or general education development credential (GED), learn job skills, secure employment, enter college, advance occupational training or apprenticeships or for support services like legal or mental health counseling and substance treatment (April 2012). Furthermore, according to Ms. Christine Miwa-Mendoza, Family Court Project Specialist, the Hawaii State Judiciary funds only two alternative secondary programs which are for in-school youth up to age 17 and substance treatment services. Furthermore, no Judiciary funds are used to help young ex-offenders, ages 18-21 earn the aforementioned diploma/credential, learn job skills or enter post-secondary education, advance occupational training programs or apprenticeships.

Attached to this proposal is a Need in Area Chart that identifies a pool of eligible participants.

## **2. Project Design**

### **Meaningful service-learning opportunities:**

Throughout the 26-month operational period of the grant estimated from October 1, 2012 to December 31, 2014, the program will establish a monthly calendar of participant activities including, but not



limited to, program orientations, leadership and soft skills training, job readiness preparation and career exploration workshops and service-learning opportunities. By doing so, participants can enter the program anytime from October 1, 2012 to February 28, 2014 and have immediate access to the aforementioned activities. This enrollment period end date ensures young people enrolled on that date have the opportunity to participate in training and activities for six months (minimum length of participatory time required by program) and receive 4 months of follow up services prior to the grant ending. HEAO has established customized tracks of services and training for enrollees who are non-high school graduates and those who are high school graduates..

All enrollees must participate in service learning opportunities. Before enrollees can participate in service-learning opportunities, they must complete 7.5 hours of leadership and soft skills training to learn how to: (1) function in teams or independently; (2) work productively with others or alone; and (3) demonstrate responsibility and respect. The 7.5-hour training will be available weekly over the course of a three-day period with each session at 2.5 hours. This scheduling ensures young people can enroll throughout the month and have immediate access to this training. The training taught by the HEAO staff will include such topics as assertive communication, problem solving, establishing and maintaining a professional and respectful workplace including sexual harassment and prevention of workplace violence training. The training will consist of a combination of lectures and activities that are fun and interactive to keep the young people interested and engaged. Equipping enrollees with the abovementioned skills will increase the likelihood that they will feel motivated and confident that their participation will be valued by the agencies or businesses providing the projects. Moreover, the training will foster positive feelings of self-worth in the young people who will be inspired to complete the projects and exhibit the following four behaviors during their participation: good attendance and punctuality, complete assignment on time, and

follow directions. Enrollees have the potential to earn up to a \$16 incentive per project day if they exhibit all of the abovementioned four behaviors (\$4 per behavior) from the start to the end of each project day.

Enrollees will be required to participate in 16 hours of service-learning training per month for a minimum of 6 months or less if they secure employment or enroll into occupational training, college or apprenticeships before the 6-month completion period. Based on the average 6-month participatory time for enrollees, the total estimated amount of time to be spent in service-learning training is 96 hours or 20% of the total estimated amount of time to be spent in alternative high school education interventions which is 480 hours. A variety of projects including, but not limited to, restoration of wetlands through the Hawaii State Department of Land and Natural Resources, facility maintenance at the YMCA Camp Erdman and graffiti removal with the Honolulu Police Department will be implemented to help the enrollees build a sense of community responsibility and rebuild their relationships with community members. Also, projects will be implemented with employers to teach job skills needed for demand industries: (1) professional and business services - account clerk at Continental Mechanical of the Pacific, (2) trade, transportation and utilities - warehouse helper at Pacific Commercial Services, (3) food service and hospitality - cashier Cheesecake Factory - Waikiki, (4) construction laborer at Agsalud Construction Company and (5) manufacturing - plant worker at Reynold's Recycling. The agencies/businesses cited above are part of the Oahu Workforce Investment Board (OWIB) and OWL Network of Partners. HEAO staff will tap into the Network to develop other service-learning projects, work experience, on the job training and unsubsidized employment opportunities for program participants and completers. These activities aim to prepare enrollees for careers in high growth/high demand industries. At project sites, enrollees will work independently or as part of a team with employees or other enrollees.

At each project site, the enrollees will first be oriented on all relevant health and safety rules and procedures, mission of the agency or business, tasks and assignments to be completed, skills they will

learn or develop, expectations of the site supervisor(s) and outcomes to be achieved. During the planning phase of each project, HEAO and site supervisor(s) will work closely together to guarantee adequate supervision is available at all times to ensure the safety of the public and participants at each site and the project and enrollee(s) are appropriately matched to ensure the young people and site personnel will prosper from their work together.

At project sites, negative behaviors exhibited by an enrollee such as returning late from breaks, idle talking and gossiping and negative peer pressure such as coercing others to leave the site without permission, using alcohol and other drugs or bullying will not be tolerated. An enrollee exhibiting such behaviors will be immediately counseled by the site supervisor(s) and the HEAO staff and his or her incentive will be appropriately reduced. Should the behavior(s) continue, progressive and reasonable actions will be taken such as mandatory therapeutic or gang intervention counseling, suspension or dismissal from the program if warranted. HEAO staff will document the enrollee's behaviors, actions and progress towards elimination of negative behavior(s) in his or her case file and monitor the situation to ensure other enrollees at the site remain focus on their tasks and assignments and not distracted by the negative behavior(s). The HEAO Program Coordinator will monitor the situation to ensure the enrollee's behavior(s) is not adversely affecting the partnership with the agency or business providing the service-learning opportunity.

**Educational interventions and vocational training:**

HEAO has customized a track of services and activities for non-high school graduate enrollees. Before a non-high school graduate enrollee can begin to participate in educational activities, he or she is administered the *Comprehensive Adult Student Assessment System (CASAS)* to determine their educational functioning levels. The enrollee is also assessed for strengths, skills and barriers such as basic skills deficient, limited English proficiency and learning or emotional disabilities. For those with limited

English proficiency or have a disability, HEAO staff will link them to services from partner agencies such as Susannah Wesley Community Center, a non-profit specializing in work with minority groups or the Hawaii State Department of Vocational Rehabilitation, a government agency that serves all individuals with disability who have the capacity to attain educational and employment goals but need supportive services to help them accomplish these goals.

The Honolulu Community Action Program, Inc. (HCAP), a non-profit human service agency and a DCS partner since 2000 will offer enrollees who were assessed as having 7<sup>th</sup> grade reading and math levels by the CASAS, the opportunity to earn a high school diploma through the Hawaii State Department of Education's (DOE) Competency-Based High School Diploma Program (C-Base). The HCAP staff is DOE-certified to provide the C-Base classroom instruction. The DOE Waipahu Community School for Adults will oversee and monitor the HCAP's C-Base Program including proctoring testing, curriculum development, retaining student records and issuing diplomas. HCAP will also offer basic skills instruction for enrollees who want to earn their diploma but have math and reading levels below the pre-requisite 7<sup>th</sup> grade level to enter the C-Base Program. Furthermore, HCAP will also offer remediation education for enrollees who earned their diploma through C-Base but don't have the skill levels to enroll into college level courses at the community colleges or local universities.

HCAP's C-Base consists of two phases that must be completed to qualify for a high school diploma. Phase I consists of five units of study taught in a classroom setting that will help enrollees develop the following skills: communication (oral and writing), computation, problem-solving and interpersonal. The units are health, government and law, consumer economic, community resources and occupational knowledge. The activities and assignments in each unit are designed to help students become functionally competent within each unit of study by demonstrating the aforementioned skills.

Classroom instruction will be offered at the HCAP or HEAO training site during the weekdays, evenings or Saturdays to accommodate the various needs of enrollees. Classes will be taught Monday through Thursday with two 3-hour sessions daily; one in the morning and another in the late afternoon/evening. Saturday classes will be offered to make up for holidays that occur during the week and to help enrollees make up hours missed during the week due to illness or other personal reasons. An enrollee needs to complete 30 hours of instruction per unit, all activities and assignments and pass the unit test with a 70% score before moving on to the next unit of study. To validate completion of hours, HCAP will document the enrollee's participation on class attendance sheets and report completed hours at the end of the unit to Waipahu Community School for Adults. Throughout the unit, HCAP will communicate weekly attendance rates of all enrollees to HEAO staff. Should the HEAO staff identify a pattern of absences or excessive absences, the enrollee(s) will be counseled immediately and progressive and reasonable actions will be taken as previously described. After completing all units, the enrollee needs to pass a mastery exam (70%) which is a test of all five units in order to move on to Phase II. To ensure the confidentiality of test scores, all completed tests are retained by Waipahu Community School for Adults. Waipahu gives HCAP lists of test scores only.

Career and occupational development will be integrated in each unit of study using various strategies. For example, to complete class assignments and activities, enrollees will use web-related research, participate in group projects, make oral presentations and write business letters to government and community agencies to request information or convey a complaint and recommendation of corrective action. Consequently, the completion of these assignments and activities allows the enrollees to build job skills that are used in the workplace on a daily basis. Another example of the integration of career and occupational development is having guest speakers relevant to the unit of study speak to the class about their occupation or career. For instance, during the government and law unit, a postal worker shares the

professional and personal advantages and disadvantages of their occupation, opportunities for advancement and what their typical day at work is like. Another integration example is implementing field trips to government and community agencies, businesses and colleges which help enrollees become more knowledgeable of community resources in preparation for their pursuit of employment and enrollment into post-secondary education upon program completion. For example, visits to University of Hawaii's community colleges or the Hawaii Pacific University to learn degree or credential programs, financial aid opportunities, student and campus services and to fill out college application forms. HEAO staff will work closely with enrollees who plan to enroll into college immediately after completing C-Base to make sure they apply for federal financial aid and to the college or university of their choice. Furthermore, the staff will help enrollees register with Oahu WorkLinks to get linked to other educational resources.

In Phase II, an enrollee has the opportunity to demonstrate his or her improved social skills, readiness to accept responsibility and ability to move forward as competent community members by enrolling into college or advance training or securing employment and completing 100 hours of work. Upon achieving either of these, the enrollee is responsible for providing the HCAP staff with documentation such as a college class schedule or paystubs to substantiate completion of Phase II. The documentation will be forwarded to Waipahu Community Schools for Adults for their validation and issuance of a high school diploma.

For enrollees who were assessed via CASAS as having 6<sup>th</sup> grade or below reading and math levels or have attained their C-Base diploma but don't have the skill levels to enroll in college level courses, HCAP will offer basic skills instruction or remediation education through individualized tutoring conducted by staff in an one-on-one or group setting or through a self-paced tutorial courseware, NovaNet. The aim of the instruction is to increase the enrollee's educational level to 7<sup>th</sup> grade to allow them to enter the C-Base

Program and work towards obtaining a high school diploma. HCAP will offer IT and NoveNet, Monday through Thursday, twice a day with 2-hour sessions in the morning and afternoon.

HEAO has customized a track of services and activities for high school graduate enrollees. For enrollees, who entered the program as high school graduates but don't have the necessary reading and math skill levels to immediately enroll into college level courses, they will receive remediation education from the program. The program will be located within the Department's Youth Services Center (YSC) which is co-located with the largest and most comprehensive one-stop center, Oahu WorkLinks Dillingham to ensure enrollees have easy and immediate access to the resources of the one-stop center. Staff will offer remediation at the YSC Computer Resource Lab which is open Monday through Friday and two Saturdays a month. Enrollees can drop-in or reserve one of the twelve computers to access the PLATO Learning System, a web-based educational assessment and tutorial software which DCS had customized by the vendor to address the specific academic and workforce readiness needs of youth and young adults who are or were previously involved in the justice system.

PLATO is a self-paced software that allows individuals to work independently to increase their skill levels in preparation for entry and placement tests for college, military and apprenticeships. Specifically, PLATO will help enrollees raise their academic skill levels in areas such as vocabulary and reading comprehension, writing, mathematics, and sciences. Customized for DCS, PLATO has workforce readiness courses including, but not limited to, reading for information, locating information, and applied mathematics that are linked to workplace skills. Enrollees will learn specific basic work skills such as reading and understanding memos and announcements, how to transfer information into a table or pie chart and calculating percent discounts or converting fractions to decimals to percentages.

PLATO's web-based courses feature bright graphics, animations and audio support to immerse young adults as they learn strategies to increase vocabulary and reading comprehension, learn basic math

to algebra needed to prepare them for high-tech jobs of today, and interpersonal skills they need to communicate and build effective working and personal relationships. The HEAO staff will monitor the lab and daily progress of youth. Moreover, if additional remediation is needed, enrollees will be enrolled into remediation classes available through the OWL Dillingham which partners with McKinley Community School For Adults to provide remediation for OWL customers.

Enrollees who have their high school diploma will be offered the opportunity to enroll in workforce development training provided by Leeward Community College – Office of Continuing Education and Workforce Development (OCEWD). DCS and OCEWD have a 15+ year partnership that provides workforce development training for youth and young adults enrolled in the OWL WIA programs and the Youth Services Center which serves ages 6-24 who are either juvenile status offenders, first time law violators, offender and ex-offender youth and young adults, young parents or non-high school graduates.

The OCEWD course curricula are developed for youth and adult learners. Courses are offered daytime, evening and weekends and taught by instructors with 20+ years of experience in the specific industry or occupation associated with the courses. Enrollees will be registered as Leeward Community College students and expected to adhere to all college policies such as health and safety standards, attendance and standard of progress which defines how grades are structured.

The program participants will enroll into courses that are customized for DCS or they will be integrated into existing training. Determining which courses will be customized will occur after the skill levels of the participants are known. At this time, OCEWD and DCS have agreed to offer the following training to enrollees that are tied to the ten high growth/high demand industries identified by the Hawaii State Department of Labor and Industrial Relations (July 2011) and stated in the aforementioned "Need in the Area to Be Served" section of this proposal.



Nurse Aide – (Health Services Industry) This program uses an intensive hands-on approach in preparing students with the vocational skills needed to pass the American Red Cross Competency Evaluation Examination for Hawaii State certification. The curriculum affords students needed assistance with improving comprehension and performance skills to better prepare for the certification test. Upon passing the examination the student will be credentialed as a Certified Nurse Aide (CNA). Training includes theory, practice and supervised clinical experience at a designated medical facility. Program includes the American Red Cross (ARC) Competency Evaluation, Heartsaver First Aid, CPR & AED training/certification, uniforms, blood pressure kit and textbooks.

Security Guard – (Trade, Transportation, and Utilities Industry) This course trains and prepares students for national certification in basic security guard skills. Detailed training is aligned with International Foundation of Protection Officers and Private Security Training Network. Students will learn a variety of skills, including: security measures to minimize property loss, secure work environments and conduct investigations, evaluate surroundings and enact proper emergency response.

Commercial Motor Vehicle Operation – (Trade, Transportation, and Utilities Industry) Upon completion of this course, students will gain valuable knowledge of and experience with a class A and B Commercial Motor Vehicle and they will also be prepared to obtain a Commercial Driver License (CDL) for the Class A CMV. The entire training consists of a single track of course that include CDL Permit preparation.

Food Safety and Sanitation - Servsafe – (Hospitality and Food Industry) The training teaches students the concepts and proper practices required for keeping a food work site safe and sanitary. Upon completion, students earn a *Servsafe Food Protection Manager Certification*.

Solar Photovoltaic Installer – (Construction) The training will teach students how to install a solar photovoltaic system for home or commercial use that leads to certification from the North American Board of Certified Energy Practitioners.

Retail Sales Associate – (Professional and Business Services Industry) The course provides a general introduction to the retail sales environment including good customer service, utilizing

sale techniques to sell more products and exhibiting professional behaviors. The students are prepared to earn the "National Professional Certification in Customer Service" through the National Retail Federation Foundation. Introduction To Office Administration & Technology – (Professional and Business Services Industry) This series of classes is specifically designed to provide students with the technical skills to become office clerks or administrative assistants. Courses include keyboarding, file management, Microsoft Word, Excel and Powerpoint, QuickPro and Access. Green Line Cleaning (Hospitality and Government and Business Services Industries) According to John Yamamoto, Past President of the Hawaii Chapter of the International Executive Housekeeping Association and current member of the Oahu Workforce Investment Board, two-thirds of the current housekeeping staff of Honolulu's hotels will be retiring over the next five years (March 2012) therefore many job openings in the hospitality industry will become available. Through this course, students will gain knowledge and skills in defining and training with green cleaning and sustainability, alternatives to traditional cleaning methods and learn how to determine the cost and use of chemicals. Also, they will learn about professional guestroom healthcare cleaning processes as well as the science and art of cleaning in school classrooms, restrooms, exteriors and common areas.

HEAO staff will contact the OCEWD instructors once a week to follow up on enrollees' progress and more often, if issues are identified. Progress and concerns will be documented and issues dealt with as previously explained.

#### **Community awareness of the youth's service projects:**

As previously stated in the "service-learning opportunities" section of this proposal, the program will implement projects with government agencies, community organizations and businesses that help the enrollees build a sense of community, rebuild their relationships with community members and teach them job skills. Besides developing projects with the previously mentioned partners, the program will develop

projects that meet the needs of the community by coordinating them with the City and County of Honolulu Neighborhood Commission and the Oahu Workforce Investment Board (OWIB).

The Commission is the City agency that provides administrative support to the thirty-six neighborhood boards in Honolulu. Mr. Samuel Moku, Director of DCS and the Mayor's representative for the Kaneohe and Waianae Boards reported that many communities lack the resources to completely remove graffiti, thoroughly clean up debris from streams and vacant lots and yards of elderly homeowners need cleaning (March 2012). Consequently, the program will use the advisement from the Commission and Mr. Moku to develop and coordinate additional projects.

The Oahu Workforce Investment Board is a 35-member private sector led board that focuses on strategic planning and policy development for the local workforce development system and oversees the City-administered one-stop centers, Oahu WorkLinks. Furthermore, the OWIB is part of DCS which allows for a strong collaborative partnership with the HEAO. Ms. Marilyn Matsunaga, Executive Director of the OWIB works very closely with Ms. Leinaala Nakamura, Assistant Administrator of the DCS' WorkHawaii Division. WorkHawaii administers Oahu WorkLinks and the Youth Services Center which includes the HEAO. Ms. Marilyn and Ms. Nakamura will call upon the assistance of OWIB Chair, Mr. Jim Tollefson, President and Chief Executive Officer of the Hawaii Chamber of Commerce to help identify businesses that will develop projects with the program that allow the enrollees to apply the skills they learned through the training they received from LCC-OCEWD.

After each project is completed, to recognize the participants for their achievements, HEAO staff will present enrollees with a "Certificate of Recognition" that includes their names, the project's outcome(s) and signed by the agency or business representative, Sam Moku (DCS Director) and the HEAO program coordinator. The certificate will become part of the enrollees' training portfolio that will later become a useful job search tool. Also, at the end of the project day, the enrollees will have their pictures taken with the site

supervisor(s). The picture with a description of the project will be posted on a 70" digital display monitor stationed near the glass-front double doors of the OWL Dillingham that advertises job openings, educational and training opportunities and community events such as job and career fairs.

To further recognize the enrollees' contributions to the community and to help the community view the enrollees as assets rather than liabilities, at the neighborhood board meetings in the communities where projects occurred, the HEAO Program Coordinator, WorkHawaii Assistant Administrator or the DCS Director will report to the board on the enrollees' contributions to that community. Also, at the OWIB meetings, the Assistant Administrator will report on the projects completed with businesses.

The program helps the enrollees develop a sense of community responsibility through two strategies: (1) orienting them to the project as previously described in the "service-learning opportunities" section in this proposal and (2) immediately after the completion of the project, the site supervisor(s), HEAO staff if on site and the enrollees will discuss the outcomes achieved, lessons learned that can be applied to future projects and their feelings about what was accomplished.

#### **High Staff-to-Participant Ratio:**

The HEAO program places a high emphasis on safety of enrollees and the public at all training activities. Specifically, at service-learning projects, the supervisor to participant ratio is 1:7. This ratio has been utilized since 2003 for all Youth Services Center programs. During the planning phase of the project, if it's determined that agencies or businesses don't have enough site supervisors to supervise the enrollees, HEAO or other YSC staff will be used to provide project supervision. Adequate supervision ensures that enrollees can focus on being productive, gaining work skills and displaying positive attitudes and behaviors previously mentioned and associated with the incentives enrollees are able to earn.

The supervisor to participant ratio at other training activities to ensure safety of enrollees and the public are: (1) HEAO program orientations, leadership and soft skills training, financial literacy and job

readiness and career exploration workshops is 1:10, (2) HCAP C-Base Classroom Instruction is 1:12; (3) HCAP IT is 1:1 or 1:10, and (4) HEAO PLATO is 1:1 or 1:12. The previously mentioned strategy of having other staff help with supervision is applied to these activities too.

All HEAO staff will have at least a bachelor's degree in counseling, social work, psychology or other related fields and two years of experience working with disadvantaged youth or young adults in service-learning related programs (e.g. USDOL Young Offender or WIA-formula Youth Programs), these are the minimum qualifications established by the City Department of Human Resources. As previously stated, the HEAO staff and enrollees will establish educational and employment goals written into the enrollee's Individual Service Training Plan (ISTP). These goals keep the program staff and partner agencies focuses on delivering services (e.g. case management) and the enrollees focused on achieving their goals.

The case management and follow up services provided by the HEAO staff are critical to ensuring the enrollees have the best chance to achieve their goals. To achieve these ends, HEAO staff will link enrollees to the following services and resources paid through grant funds or refer them to partner agencies that have been collaborating with DCS and the Youth Services Center for many years to minimize or eliminate their barriers: (1) substance treatment services provided by **Hina Mauka**, (2) mental health counseling and parenting classes by **The Institute for Family Enrichment**, (3) gang intervention and counseling by **Adult Friends for Youth**, (4) financial cash assistance, food stamps benefits, child care and education, training and work activities and support services by **Hawaii State Department of Human Services**, (5) legal services and advisement by **Volunteer Legal Services Hawaii**, (6) health services by **Kalihi Kokua Comprehensive Health Center**, (7) job readiness preparation training, career guidance and employment counseling, financial assistance towards education, training and work activities by **Oahu WorkLinks**, and (8) bus passes, work uniforms and tools and supplies and other supports by HEAO.

As previously explained, the HEAO staff will establish and maintain a case file for each enrollee that documents eligibility, the ISTP, progress, achievements, barriers, etc. This information is entered into the DCS Case Management Information System and updated along with the case file. The Program Coordinator and WorkHawaii Assistant Administrator extract weekly and monthly reports on demographics, enrollment, services and activities provided and goals set and attained from the MIS to monitor the program's progress towards achieving performance outcomes. The reports also allow the coordinator to review the performance of staff which is used to evaluate them monthly through a performance evaluation designed and authorized by the City Department of Human Resources.

#### **Career Development:**

As previously described, career and occupational development will begin when enrollees start participating in service-learning opportunities and will continue throughout the educational and occupational training activities in conjunction with the network of partners provided by the Oahu Workforce Investment Board and the OWL. One month after an enrollee begins to receive HCAP or LCC-OCEWD services and activities, the HEAO Placement Specialist, who is also an OWL business developer and the enrollee will begin to expand their work together on career development and planning which began with the identification of short and long term goals in the initial development of the ISTP. To assist with planning, the Placement Specialist and young adult will utilize resources such as *"My Next Move"*, a very easy to navigate USDOL website that provide information on industries, careers, job outlook, etc. and the *"Hawaii Workforce Informer"*, a Hawaii State Department of Labor web-site that provides current local labor market information on employment, wages, and training. With the help of these resources, the Placement Specialist and enrollee will identify 1 to 3 entry level jobs in high growth/high demand industries and the job readiness skills (e.g. interviewing, a resume) and the mix of work experience or on-the-job training and education needed to secure these entry level jobs. Also, they will develop specific post-secondary

education/training goals (e.g. 2-year nursing degree,) define the specific steps to enroll into post-secondary education or training programs (e.g. submit federal financial aid and college applications) and identify relevant educational programs provided at local colleges and institutes, technical programs and apprenticeships. This information will be documented in the ISTP. Also during this period, the HEAO staff, if applicable, will schedule the young adults to attend college fairs and tour colleges, technical programs, etc. to help them gain a better understanding of their educational options and scholarship opportunities. Furthermore, the HEAO staff will schedule Mr. Alfred Valles, the USDOL Director of Apprenticeship and Training for the Hawaii-Pacific to speak to enrollees about apprenticeship opportunities and job opportunities linked to them. Three to four months prior to completing training or sooner, youth with the HEAO staff and WIA case managers, if applicable, will begin the application process to enroll into college, an apprenticeship program or a technical program or school.

#### **Post-Program Support and Follow up:**

Since youth are enrolled from October 1, 2012 to February 28, 2014, some participants will be receiving 4 months of follow up services while others are still receiving direct services. Consequently, the program will use a case management information system and weekly reports to track participants in these two phases of participation. Being accepted into college or securing a job is certainly a significant accomplishment for young ex-offender adults however; long-term success is measured by the young person's ability to stay in school and eventually graduate or retain employment and earn more money. During the intake/selection process, each applicant will be asked to identify a program supporter who should be a positive adult role model (e.g., parent or older sibling) that will provide emotional support while the young adult participates in the program and after program completion when they are attending college/advance training or working. Additionally, for enrollees referred to the OWL WIA programs, an additional 9 months of follow up services will be provided which significantly increases retention rates thus

avoiding "negative hits" to the HEAO and WIA performance measures/outcomes. All staff will work together to contact the graduates and their supporters at least once a month, more often if necessary, to provide encouragement and help resolve any issues. Also, once a month, the staff will contact employers and college advisors to see how youth are progressing on the job or in school and to discuss strengths and areas that need improvement. If deemed necessary, youth will be referred for additional services/training (e.g., counseling, tutoring) provided by the OWL or WIA programs. These follow up strategies help staff identify challenges confronting the young adults before they lead to dropping out of school, resignation, or termination. If the young adults decide to leave college or their job, staff will be available to work with them to re-evaluate career goals, explore other post-secondary education and employment options, and revise job search plans. Staff involved in these services will meet twice a month to discuss the progress of these graduates in revising their career goals and redirecting their career paths. The HEAO post-secondary placement and follow-up strategies are adopted from the Casey Family Foundation's framework, tactics and resources for follow up and post- secondary placement.

### **3. Partnerships with Juvenile Justice System and Agencies**

As stated in the attached letter of support from the Deputy Chief Court Administrator of the Circuit Court of the First Circuit, Ms. Janice Yamada, DCS through its on-going programs of the Youth Services Center has partnerships with the **Honolulu Police Department, Family and Adult Courts – Client Services Branches, Hawaii State-Department of Attorney General, City Prosecutor's Office, and the Hawaii State Office of Youth Services (OYS)** which oversees the only **Hawaii Youth Correctional Facility**. Furthermore, the letter states that the Court will refer eligible youth to the program for services which will require on-going coordination of services with Court personnel. Also attached is a letter of support from the OYS Executive Director, Mr. David Hipp which states that OYS will continue to work with DCS by referring eligible young adults to the program and continue to coordinating service with OYS



personnel. The following non-profits, community college and state agency partners have committed to providing services to program enrollees as stated in the attached letters. **Adult Friends for Youth** will provide counseling for gang members and ex-offenders. **Hawaii State Department of Human Services** will provide financial cash assistance, food stamps benefits, child care and education, training and work activities and support services. **Hina Mauka** will provide substance treatment. **HCAP** will provide C-Base Program and other pertinent services as previously described. **LCC-OCEWD** will provide workforce development training and other relevant services as previously described. **The Institute For Family Enrichment** will provide mental health counseling and parenting classes. **Volunteer Legal Services Hawaii** will provide legal services and advisement.

#### 4. **Organizational Capacity to Involve Youth in Service-Learning Projects**

Since 2000, DCS through its Youth Services Center has implemented youth and young adult programs that provided service-learning opportunities for its enrollees that helped them develop a sense of community responsibility, build their self-confidence and learn job skills. Moreover, the projects helped the community learn to trust the youth and young adults and view them as assets rather than liabilities. The programs, examples of projects, and annual number of youth served are described as follows.

YouthBuild Honolulu – From 2000 to present, YouthBuild has annually helped about 30 non-high school graduates, ages 16 to 24 obtain their diplomas, learn job skills, prepare for college and/or employment and learn construction skills through vocational and on-site construction training. Through the years, with partnerships with Self-Help Housing Corporation of Hawaii and the Hawaii State Public Housing Authority, participants have helped build 45 affording housing units for low-income families and rehabilitate 25 public rental units. Prior to beginning of each project day, the site supervisors would remind youth about health and safety rules, inspect all tools and safety equipment and communicated project goals for the day. With Honolulu's high cost of housing and low supply of affordable housing, completed projects and future

projects yield a huge benefit for the community. WIA Youth Program – Since 2000 to present, the program has helped low-income disadvantaged, young people, ages 14 to 21 achieve academic success, build job skills, secure employment and enter college or advance training. Annually, the program assists 300+ participants. Through non-profits such as Honolulu Community Action Program and Susannah Wesley Community Center, youth are placed at training sites provided by businesses and agencies tied to the aforementioned high growth/high demand industries to learn job (e.g. dealing with the public) and soft skills (e.g. punctuality and good attendance). Examples of positions and sites: (1) Administrative Assistant at Hawaii State Department of Public Safety (government), (2) Retail Sales at Jeans Warehouse (business services), and (3) Laborer at Pali Golf Course (construction). The length of the projects is dependent on the availability of the youth and the needs of the youth and agencies/businesses. Additionally, from May 2009 to December 2010, the Program implemented summer and year-round service-learning projects.

Implemented like the proposed HEAO service-learning opportunities, youth received pre-leadership and soft skills training, orientations to the projects by site supervisors and close monitoring of progress and supervision throughout the duration of the project. 534 young people, ages 14-21 were served and matched to a training site based on their career interests in high growth/high demand occupations or industries to learn job and soft skills. 116 training sites were developed with agencies and businesses. Examples of positions and sites: (1) Security Aide at Tripler Army Medical Center (government), (2) Office Clerk at Waianae High School (education) and (3) Car Detailer and Parking Lot Attendant at Avis (hospitality). The length of the projects varied between 6 to 10 weeks depending on the availability of the youth and the needs of the youth and agencies/businesses. Summer Service-Learning Opportunity

Program - From May 2010 to September 2010, the Program implemented service-learning projects like the aforementioned WIA Program for 487 young people, ages 14 to 21. The projects varied in length from 6-14 weeks depending on the availability of the youth and the needs of the youth and agencies. 84 training sites

developed with government and non-profit agencies that were linked to the participants' career interests in high growth/high demand occupations and industries to learn job and soft skills. Examples of positions and sites: (1) Child Care Aide at Seagulls Schools, Inc. (social assistance), (2) Office Clerk at USS Missouri Memorial (hospitality) and (3) Laborer at Pu'u Haleakala Community Association (professional and business services). Young Offender Demonstration Program – From June 2002 to September 2009, the program served between 80 to 100 young people, ages 14 to 24 who were either at-risk for further involvement in the justice or court systems, arrested but never adjudicated, gang members or offenders. The program implemented service-learning projects as previously described in the WIA Youth Program section of this proposal. Projects were implemented at least twice a month to help participants develop job and soft skills. Examples of duties and projects: (1) conservation and restoration at Hamakua, Paiko and Pohala marshes with the Hawaii State Department of Land and Nature Resources (DLNR), (2) cleared trees and overgrowth to create a fire break area in Waianae Valley with DLNR (3) mailed out monthly newsletters at PATCH (child care referral agency) and (4) sort clothing and cleaning the facility at The Institute for Human Services (homeless shelter).

##### **5. Organizational Capacity to Serve Youth Offenders**

Young Offender Demonstration Program – From June 2002 to September 2009, DCS secured competitive USDOL grant funds totaling \$2,850,055 that was used to serve 570 young people, ages 14 to 24 who were either at-risk for further involvement in the justice or court systems, arrested but never adjudicated, gang members or offenders and ex-offenders. The program aimed at helping these young people achieve short and long term educational and employment goals and keep them from further involvement in the justice or court systems. The services and activities included, but not limited to, alternative secondary high school diploma program (C-Base), GED preparation, tutoring, vocational

training, job preparation training, service-centered mentoring, service-learning projects and placement into employment including military and apprenticeships and post-secondary education and advance training.

Attached to this proposal is a Performance Chart which provides information on this program's performance goals and outcomes for enrollment, diploma/GED attainment and placement and the Grantor's Contact Information. Additionally, in regards to job placements, most of the participants secured unsubsidized employment in the following high growth/high demand industries: (1) food and hospitality, (2) trades, transportation and utilities, (3) social assistance, (4) construction and (5) professional and business services (retail). As reported in the Performance Chart, the program exceeded the three previously stated performance goals. These accomplishments were due to establishing and maintaining program and fiscal controls through the program's performance period. Program internal controls include: (1) separation of duties as described in staff position descriptions to ensure all daily operations are carried out, staff are supervised and their performance is evaluated monthly, and compliance to grant requirements. (2) monitoring of the participants' performance via the Program's management information system and weekly staff reports to ensure progressive steps are made towards achieving goals and corrective actions are taken to address issues and (3) monitoring of contractors' performance via monthly meetings and visits to training sites to ensure services and activities are available to participants on a regular basis and corrective actions are taken to address issues. The fiscal controls are described in the next section of this proposal.

#### **6. Organizational Administrative and Fiscal Capacity**

For more than thirty years, the City Department of Community Services with an average annual budget of \$70 million has and continues to implement grant-funded social service and workforce development programs through its six divisions that serve populations such as the elderly, low-income individuals, homeless, job seekers and dislocated workers, ex-offenders and individuals with disabilities. The DCS Administration provides the direction and oversight to ensure the divisions are administering and

implementing programs that are adhering to the Hawaii Government Employee Association bargaining agreements and City policies listed on the City's website ([www.honolulu.gov](http://www.honolulu.gov)). The DCS Director directs the division administrator(s) to be responsible for ensuring operations are in compliance with the regulations, rules and policies applicable to the various grants that fund programs such as the *OMB Circular A-87* and *29 CFR, Part 652, et al.* WIA Final Rules. WorkHawaii, the largest DCS Division has 7 sections and 80+ positions and is overseen by two administrators. Three of the division's sections, Oahu WorkLinks Dillingham, Oahu WorkLinks Waianae and the Youth Services Center will contribute staff time and educational and training services and resources to assist the HEAO enrollees if needed. The Planning and Evaluation Section of the Division is responsible for setting up expenditure tracking systems, works closely with the City Attorney and Budget and Fiscal Services to execute partner agreements and prepares City and grant budgets as directed by the administrators to ensure timely and effective spending of grant funds. The City Department of Budget and Fiscal Services (BFS), which manages all of the Department's grant funds, has been awarded the Certificate for Excellence in Financial Reporting from the Government Finance Officers Association for the last 24 years. BFS will develop and oversee the HEAO's financial management system, will complete and submit financial reports, and conduct sub-recipient monitoring. BFS will establish and maintain an expenditure tracking system used to cost allocate all operational expenses (e.g. rent ) to HEAO and other programs based on a labor distribution methodology. The following are examples of fiscal controls in place to effectively resolve negative audit findings: (1) no individual has complete control over all phases of any significant transaction; (2) recordkeeping is separate from operations and the handling and custody of assets; (3) monthly reconciliations and verifications of cash balances made by employees who do not handle or record cash or sign checks; and (4) financial recordkeeping system provides the results of financial transactions and the appropriate means of accumulating and maintaining supporting documentation.

# NEED IN AREA TO BE SERVED

Number of 18-21 year olds in geographic area	Source of Information	Number of Eligible Participants in Geographic Area Based on Section III D of SGA/DFA-PY-11-03	Source of Information	Number of eligible participants intending to serve w/grant	Source of Information
53,679*	US CENSUS 2010	898	Hawaii Attorney General - Juvenile Justice Information System	110	City & County of Honolulu Department of Community Services

\*Number based on 18-21 year olds on the island of O'ahu, Hawaii.

**PERFORMANCE CHART: Youth Non-RExO Applicants (2002-2009)**

Categories	Grant Performance Goals Established by USDOL	Performance Goal by Percentage	Actual Grant Outcomes	Outcome Percentage
Enrollment:	300	100%	570	190%
Placement:				
Obtained High School Degree/GED/Certification	285 (or 65% of all youth (438) pursing diploma/GED	65%	434	99%
Employment, Military, Post- Secondary Education, Occupational Skills/Advanced Training	342	60% of all enrollees	394	115%

**PROJECT REFERENCE INFORMATION:**

Young Offender Initiative: Demonstration Grant Agreement #: AF-12383-02-60

Sandra Waterhouse

Federal Project Officer

U.S. Department of Labor

[waterhouse.sandra@dol.gov](mailto:waterhouse.sandra@dol.gov)

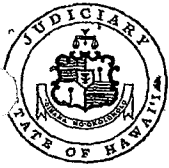
(415) 975-4408

**TIMELY REPORTING CHART**

	<b>DUE DATE</b>	<b>SUBMITTED</b>	<b>TYPE OF REPORT</b>
1	10/15/2009	10/14/2009	Quarterly Program Report Ending 9/30/2009
2	7/15/2009	7/15/2009	Quarterly Program Report Ending 6/30/2009

Young Offender Initiative: Demonstration Grant Agreement #: AF-12383-02-60





**Circuit Court of the First Circuit — Client Services — THE JUDICIARY • STATE OF HAWAII**

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**Lori Ann M. Okita**  
CHIEF COURT ADMINISTRATOR

**Janice G.M. Yamada**  
DEPUTY CHIEF COURT ADMINISTRATOR

April 10, 2012

Mr. Samuel E. H. Moku, Director  
City and County of Honolulu  
Department of Community Services  
715 South King Street, Suite 311  
Honolulu, Hawaii 96813

Dear Mr. Moku:

RE: Letter of Support for Honolulu's Youth Services Center

It is our understanding that the Youth Services Center is applying for a grant from the United States Department of Labor-Employment Training Administration to serve young adult ex-offenders through training and service learning. This is a letter of support for their application as the Adult and Juvenile Client Services Branches of the First Circuit Court have worked with this agency. Our offices provide supervision to young adult offenders as well as youth placed on probation or protective supervision to Family Court.

The Judiciary has had a positive working relationship with the Youth Services Center (YSC) since 2003. YSC has proven experience serving this target population through its various programs, i.e. YouthBuild, Youth Offender Program, Juvenile Justice Center and Workforce Investment Act, providing alternative education, case management and vocational training. Over the years, YSC has partnered with the State's Office of Youth Services, Family Court, Honolulu Police Department, Department of the Attorney General and the Prosecutor's Office.

SGA/DFA/PY11-03 would serve young adult offenders ages 18-21 who were known to the juvenile justice system, and have never been convicted as an adult. As our youth transition or age out of the juvenile justice system, these youth can provide YSC with a pool of viable candidates for services.

We value the services provided by YSC and will continue to refer clients who qualify for Services. We look forward to a continued partnership with YSC and thank you for this Opportunity to support YSC.

Very truly yours,

A handwritten signature in black ink, appearing to read "Janice Yamada". The signature is fluid and cursive, with the first name "Janice" and last name "Yamada" clearly distinguishable.

Janice Yamada  
Deputy Chief Court Administrator  
First Circuit Court

NEIL ABERCROMBIE  
GOVERNOR



DAVID HIPPI  
EXECUTIVE DIRECTOR

Phone: (808) 587-5700  
Fax: (808) 587-5734

STATE OF HAWAII  
DEPARTMENT OF HUMAN SERVICES  
OFFICE OF YOUTH SERVICES  
707 Richards Street, Suite 525  
Honolulu, Hawaii 96813.

April 9, 2012

Mr. Samuel E.H. Moku  
Director  
City and County of Honolulu  
Department of Community Services  
715 South King Street, Suite 311  
Honolulu, Hawaii 96813

Dear Mr. Moku:

I am pleased to write in support of the Department of Community Service's (DCS) grant application to the U.S. Department of Labor (DOL), Employment and Training Administration. DCS is a partner of OYS regarding juvenile justice issues affecting youth offenders below the age of 18.

The availability of funds authorized by the Workforce Investment Act for Reintegration of Ex-Offenders Training and Service-Learning grants provide opportunities for youth ages 18 through 21 who have been involved in the juvenile justice system from the age of 14 or above. Supporting agencies with the capacity and knowledge to work with this targeted population adds to our effort in preventing these youth from entering the criminal justice system and through service-learning projects, communities have the opportunity to reclaim their young adults.

I look forward to working with your office in this regards.

Sincerely,

David Hipp  
Executive Director



## Adult Friends for Youth

3375 Koapaka Street, Suite B290 • Honolulu, Hawaii 96819 • (808) 833-8775 • FAX: (808) 833-6469  
E-mail: [afy@afyhawaii.com](mailto:afy@afyhawaii.com) • Web Page: <http://www.afyhawaii.com>

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*\*Past Chair of the Board*

April 12, 2012

Mr. Samuel E. H. Moku, Director  
Department of Community Services, City & County of Honolulu  
715 South King Street, Suite 311  
Honolulu, Hawaii 96813

Dear Mr. Moku:

This is a letter of support for the City & County of Honolulu,  
Department of Community Services' USDOL Application.

Adult Friends for Youth has a long history of partnering with DCS  
on programs such as the Community Development Block Grant, the  
Leeward Coast Community Benefits Program, the Work Force Investment  
Act, and a Grant-in-Aid to address youth gang members.

Last year AFY worked with 30 groups, with 465 group clients, and  
also worked with 115 individual clients. While noted for its work in  
public high schools, AFY also works with gang members and ex-offenders  
over age 18. AFY has a no termination policy and continues to work with  
clients post-high school and post-incarceration to help them redirect their  
lives from destructive to constructive behaviors. In addition to addressing  
clients' personal problems and behavioral issues, AFY clinicians assist  
them with their educational, job application, and judicial system needs.

We would be pleased to partner with DCS in this effort to improve  
the lives of ex-offenders, which would also benefit the community in  
which they live.

Sincerely,

Deborah L. K. Spencer-Chun  
President and CEO.

NEIL ABERCROMBIE  
GOVERNOR

PATRICIA McMANAMAN  
DIRECTOR

STATE OF HAWAII  
**DEPARTMENT OF HUMAN SERVICES**

Benefit, Employment and Support Services Division  
820 Milliani Street, Suite 606  
Honolulu, Hawaii 96813

BARBARA A. YAMASHITA  
DEPUTY DIRECTOR

April 12, 2012

Mr. Samuel B. H. Moku, Director  
City Department of Community Services  
715 South King Street, Suite 311  
Honolulu, Hawaii 96813

Dear Mr. Moku:

SUBJECT: Letter of Support for City and County of Honolulu, Department of  
Community Services' USDOL Grant Application

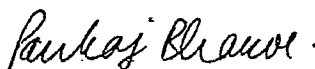
The Benefit, Employment and Support Services Division (BESSD) of the Department of Human Services (DHS) would like to extend our support and continued partnership with the City and County of Honolulu's, Department of Community Services (DCS) and their USDOL grant application which aims to improve the employability of ex-offenders, ages 18 to 21 through a provision of education, occupation skills training and support services.

Since 1995, DHS-BESSD has partnered with DCS to provide to our TANF and SNAP work eligible recipients, some of whom are ex-offenders, with job readiness preparation training. Annually, DCS provides training to approximately 1,000 DHS clients skills such as job search and interviewing, resume writing and effective job retention behaviors.

We are committed to helping our clients who are eligible for our services such as financial cash assistance, Supplemental Nutrition Assistance Program (formerly food stamps) benefits and child care assistance, as well as the array of education, training and work activities and support services needed to assist our clients in achieving the goal of moving towards self-sufficiency through attaining and maintaining employment.

Thank you for the opportunity to express our Division's support for DCS and their USDOL grant application which aims to improve the employability of ex-offenders, ages 18 to 21 through a provision of education, occupation skills training and support services.

Sincerely,



Pankaj Bhanot  
Division Administrator



April 11, 2012

Samuel E. H. Moku, Director  
Department of Community Services  
City and County of Honolulu  
715 South King Street, Suite 311  
Honolulu, HI 96813

RE: Supporting the Department of Community Services' USDOL Reintegration of Ex-Offenders Training and Service-Learning Grant Application

Dear Mr. Moku:

Hina Mauka has a 35 year history of serving a wide variety of clients with addictions, including the offender population. Our service continuum offers treatment through several levels of care including Residential Treatment, Day Treatment, Outpatient Treatment and Aftercare.

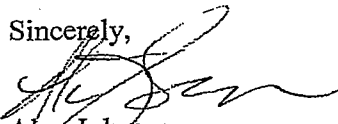
Hina Mauka, along with the Hawaii Paroling Authority, Adult Client Services, Family Drug Court, and the Department of Public Safety, has collaborated to improve linkages and substance abuse treatment services for the offender population. In 2008, Hina Mauka became the first program in Hawaii to receive CARF accreditation for Criminal Justice Programming.

Left untreated, drug-abusing ex-offenders can relapse and return to criminal behavior. We provide a separate evidence-based treatment track focused on treating the offender population and their individual needs. Services are designed to promote self-sufficiency, and development of the necessary skills for pro-social independent living.

Hina Mauka looks forward to working with the City Department of Community Services in providing substance treatment to ex-offenders under this grant project.

If you have any questions you may contact me at 447-5225.

Sincerely,



Alan Johnson  
President & CEO



Honolulu Community Action Program

A Non-Profit Human Service Agency  
Honolulu Community Action Program

### HCAP Youth Services

*~Helping Our Youth Make A Better Tomorrow~*

729-E Emily Street \* Honolulu, HI 96813  
Telephone (808) 591-1766 \* Fax (808) 591-1768

*Educational & Employment Opportunities*

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*Executive Director*

**HEAD START OFFICES:**

- KAPALAMA  
Tel: (808) 847-2400
- KUNIA  
Tel: (808) 621-5099

**DISTRICT CENTERS**

April 5, 2012

Mr. Samuel E. H. Moku, Director  
Department of Community Services  
City and County of Honolulu  
715 South King Street, Suite 311  
Honolulu, Hawaii 96813

Dear Mr. Moku;

**Subject:** Letter of Commitment of Support the City Department of Community Services' Reintegration of Ex-Offenders (RExO) Training and Service-Learning Grant Application

Honolulu Community Action Program, Inc. (HCAP) is a 505 (c)(3) nonprofit human service agency that has been servicing the island community since 1965. It is our belief and philosophy that no individual should be denied the opportunity to share and contribute fully to the best of his/her capabilities in the social and economic well being and prosperity of our society. Hence, HCAP is committed to alleviating the conditions of poverty on O'ahu by promoting opportunities for the economically disadvantaged to attain greater social and economic mobility.

Since September 2000, HCAP Youth Services and the City Department of Community Services through the Youth Service Center have worked together to provide at-risk youth with the Competency Based High School Diploma (C-Based) program, job readiness training, job placement, youth development, remedial skills training, leadership development, case management services and mentoring.

HCAP Youth Services commits to providing the Competency Based High School Diploma program and other pertinent services needed for the Reintegration of Ex-Offenders (RExO) Training and Service-Learning project.

If there are any further questions or concerns, please contact me at 591-1766

Sincerely,

Krystal Ikeda  
Program Coordinator

• CENTRAL O'AHU  
Tel: (808) 488-6834

• KALIHI-PALAMA  
Tel: (808) 847-0804

• LEAHI  
Tel: (808) 732-7755

• LEEWARD  
Tel: (808) 696-4261

• WINDWARD  
Tel: (808) 239-5754

**LEEWARD COMMUNITY COLLEGE**

Office of Continuing Education & Workforce Development

April 11, 2012

Mr. Samuel E.H. Moku, Director  
Department of Community Services  
City & County of Honolulu  
715 S. King St., Suite 311  
Honolulu, HI 96813

Dear Mr. Moku,

Subject: Commitments for Training Services

Leeward Community College's Office of Continuing Education and Workforce Development (OCEWD) is thrilled to learn of your bid for funding to address a critical need for Hawaii's young adults.

OCEWD's mission to provide accessible workforce development training to our community is in perfect alignment with this SGA from DOL to serve young adult offenders. Our faculty and staff have a sharp knowledge and level of experience working with this group over the past 15 years and we are thrilled to have this opportunity to continue our partnership with the Department of Community Services. OCEWD is experienced and well-suited to provide workforce training that is well adapted to individuals facing barriers such as learning disabilities, unemployment, academic under-preparedness and more. Our workforce training efforts will focus on industry-validated state or national certification programs leading to employment in current workforce needs in the State of Hawaii.

Leeward Community College's OCEWD office is committed to providing services including but not limited to:

- \* Customized experiential and hands-on workforce training in "high need" employment sectors.
- \* Job-prep advising and assistance to program completers
- \* Customized or integrated workforce training in the following areas:
  - Nurse Aid training and State certification preparation
  - Commercial Driver's training and licensing
  - Intro. To Office Administration & Technology training
  - Retail Sales Associate training aligned with National Retail Foundation
  - Solar Photovoltaic Installer training leading to NABCEP certification
  - Security Guard training & preparation for national PSTN certification
  - National Serve-Safe training and certification
  - Green line cleaning for Hospitals, Hotels or Schools



University of Hawai'i

**LEEWARD COMMUNITY COLLEGE**

Office of Continuing Education & Workforce Development

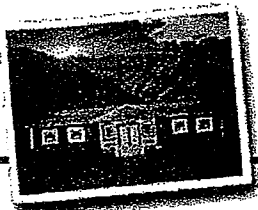
To better serve the program students, OCEWD is capable and committed to customizing courses where appropriate to ensure a greater rate of retention and completion. Customizations could include extended instruction times, math and reading contextualized to the occupation and employment sector and specific certification prep courses. Additionally we are capable of leveraging additional grant funded support projects that include math and reading remediation with a career focus preparation.

We wish you the best in your pursuit to win this bid for funding. Thank you for the opportunity to bring our experience and strengths to this gratifying project.

Sincerely,



T. Michael Moser  
Associate Professor  
Sr. Coordinator



## The Institute For Family Enrichment, LLC

615 Piiko'i Street, Suite 105 • Honolulu, HI 96814

Phone: (808) 596-8433 • Fax: (808) 748-3080 • [www.tiffe.org](http://www.tiffe.org)

---

April 12, 2012

Mr. Samuel E.H. Moku, Director  
Department of Community Services  
City and County of Honolulu  
715 South King Street, Suite 311  
Honolulu, HI 96813

Dear Mr. Moku,

The Institute For Family Enrichment (TIFFE) is a community-based agency serving the State of Hawaii since 1981. Our mission is to provide innovative responses to societal problems in Hawaii having impact on children and families. TIFFE is dedicated to providing a range of education, mental health and substance abuse counseling as well as intensive family education using Nurturing Parenting Curriculum. TIFFE continues to work with at-risk youth, including ages 18 to 21 years, and their parents in the schools, churches, and community.

For the past two years, TIFFE has collaborated with Department of Community Services. TIFFE provides mental health counseling for clients with HMSA, HMSA Quest, UHA and Tricare. The counseling staff are Qualified Mental Health Professionals. In addition, TIFFE provides Nurturing Parenting classes for at-risk families at several locations on the island.

TIFFE can work with the Department of Community Services to provide mental health counseling and parenting classes for the at-risk youth and their parents. TIFFE is capable to address the goal to reintegrate youth ex-offenders back into the community, reestablish community-based trust and enhancing their status in the community.

Sincerely,

Linda Honda, CEO

77 Mohouli Street  
Hilo, Hawaii 96720  
(808) 961-5166

688 Kinooole St, Ste 120  
Hilo, HI 96720  
(808) 934-8787

Pualani Terrace, Ste C204  
Kealahou, Hawaii 96750  
(808) 323-3305



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Deputy Director

April 11, 2012

Mr. Samuel E. H. Moku, Director  
Department of Community Services  
City and County of Honolulu  
715 South King Street, Suite 311  
Honolulu, Hawaii 96813

Re: Letter of Support for the City & County of  
Honolulu's Department Of Community Services' Re-Integration  
of Ex-Offenders Training and Service-Learning Grant Application

Dear Mr. Moku:

For over 30 years, Volunteer Legal Services Hawaii, a 501(C)(3) non-profit agency, has provided legal assistance to thousands of low income and homeless individuals and their families on Oahu, the Big Island, Kauai and Maui. Volunteer Legal is the only organization in the state whose sole mission is to provide free legal services using attorneys who donate their time. Through the dedicated efforts of a tiny staff (five full time and three part time) and hundreds of volunteer attorneys, Volunteer Legal assists more than 2,500 individuals each year in a wide range of civil legal matters – housing, child custody, visitation and support, landlord-tenant, public benefits, recalling non-felonious bench warrants, and guardianship, just to name a few. We assist a number of immigrants, including Pacific Islanders, as well as many Native Hawaiians.

The organization's services, which include advice and counsel face-to-face clinics, telephone consultations, brief services, workshops, and direct legal representation, are coordinated by an experienced staff of intake specialists and a licensed Hawaii attorney who serves as pro bono attorney coordinator. Two of Volunteer Legal's staff members and a number of its volunteers are bilingual. Its Deputy/Legal Director, also licensed in Hawaii, practiced at a major Hawaii law firm for 25 years. Volunteer Legal's Executive Director, also

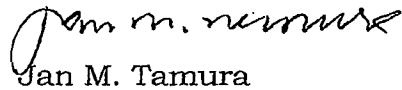


Samuel E. H. Moku  
April 11, 2012  
Page 2

an attorney formerly in private practice, has worked in Hawaii, including at the State of Hawaii Judiciary, for more than 15 years.

The challenges faced by at-risk youth and young adults can be overwhelming and meeting their needs -- including the ability to navigate through the legal system and receive legal remedies to which they are entitled -- can be equally challenging. Volunteer Legal is pleased to support the Department of Community Services' efforts to provide educational and learning opportunities, promote civil responsibility and engagement, and support the ability of young adult offenders to reintegrate into the community by enhancing their work-based skills and status in their communities.

Sincerely,

A handwritten signature in dark ink, appearing to read "Jan M. Tamura", is written over the typed name.

Jan M. Tamura  
Deputy/Legal Director

### Project/Performance Site Location(s)

**Project/Performance Site Primary Location** ☐ I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name: City & County of Honolulu - Youth Services Center

DUNS Number:

\* Street1: 1505 Dillingham Blvd., Suite 206

Street2:

\* City: Honolulu

County:

\* State: HI: Hawaii

Province:

\* Country: USA: UNITED STATES

\* ZIP / Postal Code: 96817-4822

\* Project/ Performance Site Congressional District: I & II

**Project/Performance Site Location 1** ☐ I am submitting an application as an individual, and not on behalf of a company, state, local or tribal government, academia, or other type of organization.

Organization Name:

DUNS Number:

\* Street1:

Street2:

\* City:

County:

\* State:

Province:

\* Country: USA: UNITED STATES

\* ZIP / Postal Code:

\* Project/ Performance Site Congressional District:

**Additional Location(s)**

Add Attachment

Delete Attachment

View Attachment

## **PART II**

### **BUDGET INFORMATION**

# BUDGET INFORMATION - Non-Construction Programs

OMB Number: 4040-0006  
Expiration Date: 06/30/2014

## SECTION A - BUDGET SUMMARY

Grant Program Function or Activity (a)	Catalog of Federal Domestic Assistance Number (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1. N/A	17.270	\$	\$	\$ 1,500,000.00	\$	\$ 1,500,000.00
2.						
3.						
4.						
5. Totals		\$	\$	\$ 1,500,000.00	\$	\$ 1,500,000.00

Standard Form 424A (Rev. 7-97)  
Prescribed by OMB (Circular A -102) Page 1

# SECTION B - BUDGET CATEGORIES

6. Object Class Categories	GRANT PROGRAM, FUNCTION OR ACTIVITY				Total (5)
	(1)	(2)	(3)	(4)	
	N/A				
a. Personnel	\$ 469,090.00	\$	\$	\$	\$ 469,090.00
b. Fringe Benefits	238,439.00				238,439.00
c. Travel	15,000.00				15,000.00
d. Equipment	0.00				
e. Supplies	4,000.00				4,000.00
f. Contractual	467,081.00				467,081.00
g. Construction	0.00				
h. Other	306,390.00				306,390.00
i. Total Direct Charges (sum of 6a-6h)	1,500,000.00				\$ 1,500,000.00
j. Indirect Charges					\$
k. TOTALS (sum of 6i and 6j)	\$ 1,500,000.00	\$	\$	\$	\$ 1,500,000.00
7. Program Income	\$ 0.00	\$	\$	\$	\$

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SECTION C - NON-FEDERAL RESOURCES					
(a) Grant Program	(b) Applicant	(c) State	(d) Other Sources	(e) TOTALS	
8. <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	
9. <input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	
10. <input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	
11. <input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	
12. TOTAL (sum of lines 8-11)	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	
SECTION D - FORECASTED CASH NEEDS					
	Total for 1st Year	1st Quarter	2nd Quarter	3rd Quarter	4th Quarter
13. Federal	\$ <input style="width:95%;" type="text" value="553,552.00"/>	\$ <input style="width:95%;" type="text" value="80,326.00"/>	\$ <input style="width:95%;" type="text" value="157,742.00"/>	\$ <input style="width:95%;" type="text" value="157,742.00"/>	\$ <input style="width:95%;" type="text" value="157,742.00"/>
14. Non-Federal	\$ <input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>
15. TOTAL (sum of lines 13 and 14)	\$ <input style="width:95%;" type="text" value="553,552.00"/>	\$ <input style="width:95%;" type="text" value="80,326.00"/>	\$ <input style="width:95%;" type="text" value="157,742.00"/>	\$ <input style="width:95%;" type="text" value="157,742.00"/>	\$ <input style="width:95%;" type="text" value="157,742.00"/>
SECTION E - BUDGET ESTIMATES OF FEDERAL FUNDS NEEDED FOR BALANCE OF THE PROJECT					
(a) Grant Program	FUTURE FUNDING PERIODS (YEARS)				
	(b) First	(c) Second	(d) Third	(e) Fourth	
16. 17.270 <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text" value="630,968.00"/>	\$ <input style="width:95%;" type="text" value="315,480.00"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	
17. <input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	
18. <input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	
19. <input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	<input style="width:95%;" type="text"/>	
20. TOTAL (sum of lines 16 - 19)	\$ <input style="width:95%;" type="text" value="630,968.00"/>	\$ <input style="width:95%;" type="text" value="315,480.00"/>	\$ <input style="width:95%;" type="text"/>	\$ <input style="width:95%;" type="text"/>	
SECTION F - OTHER BUDGET INFORMATION					
21. Direct Charges: <input style="width:95%;" type="text"/>		22. Indirect Charges: <input style="width:95%;" type="text"/>			
23. Remarks: <input style="width:95%;" type="text"/>					

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Standard Form 424A (Rev. 7- 97)  
Prescribed by OMB (Circular A -102) Page 2

## YOUNG ADULT EX-OFFENDER GRANT: SGA/DFA-PY-11-03 BUDGET DETAIL

PROGRAM PERSONNEL	PLANNING BUDGET (3 MONTHS)	OPERATION & FOLLOW-UP BUDGET (27 MONTHS)	TOTAL 30 MONTH BUDGET	LEVERAGE	
				WIA	
<b>PROGRAM PERSONNEL</b>					
1 FTE Program Coordinator (Monthly salary = \$4278.00) Less City mandate of 5% reduction of pay until 6/30/13 = \$4062.00. Allocation Rate Planning Stage = \$4062.00 x 35% x 3 months = \$4265.00; 35% Allocation Rate for 3 months in the Operation & Follow up Stage = \$4062.00 x 35% x 3 months = \$4265.00 plus 65% Allocation Rate for 6 months in the Operation & Follow up Stage = \$4062.00 x 65% x 6 months = \$15,842.00 plus 65% Allocation Rate in the Operation & Follow up Stage for 18 months (5% pay reduction lifted) = \$4278.00 x 65% x 18 months = \$50,029.00. Total for Operation & Follow up Stage: \$4,062.00 + \$15,842.00 + \$50,029.00 = \$70,136.00.	4,265.00	70,136.00	74,401.00		
1 FTE Case Manager (Monthly salary = \$3511.00) Less City mandate of 5% reduction of pay until 6/30/13 = \$3335.00. Allocation Rate for Planning and Operation & Follow up = 100%. Planning stage: \$3335.00 x 100% x 3 months = \$10,005.00. Operation & Follow up Stage \$3335.00 x 100% x 9 months = \$30,015.00 plus (5% pay reduction lifted) \$3511.00 x 100% x 18 months = \$63,198.00. Total for Operation & Follow up Stage: \$30,015.00 + \$63,198.00 = \$93,213.00.	10,005.00	93,213.00	103,218.00		
1 FTE Case Manager (Monthly salary = \$3511.00) Less City mandate of 5% reduction of pay until 6/30/13 = \$3335.00. Allocation Rate for Planning and Operation & Follow up = 100%. Planning stage: \$3335.00 x 100% x 3 months = \$10,005.00. Operation & Follow up Stage \$3335.00 x 100% x 9 months = \$30,015.00 plus (5% pay reduction lifted) \$3511.00 x 100% x 18 months = \$63,198.00. Total for Operation & Follow up Stage: \$30,015.00 + \$63,198.00 = \$93,213.00.	10,005.00	93,213.00	103,218.00		
1 FTE Placement Specialist (Monthly salary = \$3951.00) Less City mandate of 5% reduction of pay until 6/30/13 = \$3753.00. Allocation Rate for Planning and Operation & Follow up = 50%. Planning stage: \$3753.00 x 50% x 3 months = \$5,630.00. Operation & Follow up Stage \$3753.00 x 50% x 9 months = \$16,889.00 plus (5% pay reduction lifted) \$3951.00 x 50% x 18 months = \$35,559.00. Total for Operation & Follow up Stage: \$16,889.00 + \$35,559.00 = \$52,448.00.	5,630.00	52,448.00	58,078.00		
1 FTE Clerk Typist (Monthly salary = \$2139.00) Less City mandate of 5% reduction of pay until 6/30/13 = \$2032.00. Allocation Rate for Planning and Operation & Follow up = 50%. Planning stage: \$2032.00 x 50% x 3 months = \$3,048.00. Operation & Follow up Stage \$2032.00 x 50% x 9 months = \$9,144.00 plus (5% pay reduction lifted) \$2139.00 x 50% x 18 months = \$19,251.00. Total for Operation & Follow up Stage: \$9,144.00 + \$19,251.00 = \$28,395.00.	3,048.00	28,395.00	31,443.00		
<b>Total Program Salary</b>	<b>32,953.00</b>	<b>337,405.00</b>	<b>370,358.00</b>		
<b>Program Coordinator</b> - oversees the daily operation of the Project and ensures program goals and outcomes are met.					
<b>Case Manager</b> - participates in outreach and recruitment of Project participants. Determines individual's eligibility, collects required documentation for eligibility, develops Individual Service Strategy (ISS) plan with participants; maintains accurate case files and provides guidance to ensure participants remain on track in achieving Project and individual goals. Inputs participants information into databases. Administers basic skills and Career assessments.					
<b>Placement Specialist</b> - provides job readiness training; prepare customers for job search, job matching and referrals, develop employment plans, on-the-job training and establish relationships with employers.					
<b>Clerk Typist</b> - assist Project participants with completing intake; disseminate information to the public, and clerical responsibilities for the Project.					
<b>ADMINISTRATIVE PERSONNEL</b>					
1 FTE Deputy Administrator Work/Hawaii (Monthly salary = \$6959.00) Less City mandate of 5% reduction of pay until 6/30/13 = \$6649.00. Allocation Rate for Planning and Operation & Follow up = 5%. Planning stage: \$6649.00 x 5% x 3 months = \$997.00. Operation & Follow up Stage \$6649.00 x 5% x 9 months = \$2,992.00 plus (5% pay reduction lifted) \$6959.00 x 5% x 18 months = \$6,299.00. Total for Operation & Follow up Stage: \$2,992.00 + \$6,299.00 = \$9,291.00.	997.00	9,291.00	10,288.00		
1 FTE Planner V (Monthly salary = \$4278.00) Less City mandate of 5% reduction of pay until 6/30/13 = \$4062.00. Allocation Rate for Planning and Operation & Follow up = 5%. Planning stage: \$4062.00 x 5% x 3 months = \$609.00. Operation & Follow up Stage \$4062.00 x 5% x 9 months = \$1,828.00 plus (5% pay reduction lifted) \$4278.00 x 5% x 18 months = \$3,848.00. Total for Operation & Follow up Stage: \$1,828.00 + \$3,848.00 = \$5,676.00.	609.00	5,676.00	6,285.00		
1 FTE Planner III (Monthly salary = \$3511.00) Less City mandate of 5% reduction of pay until 6/30/13 = \$3335.00. Allocation Rate for Planning and Operation & Follow up = 15%. Planning stage: \$3335.00 x 15% x 3 months = \$1,501.00. Operation & Follow up Stage \$3335.00 x 15% x 9 months = \$4,502.00 plus (5% pay reduction lifted) \$3511.00 x 15% x 18 months = \$9,480.00. Total for Operation & Follow up Stage: \$4,502.00 + \$9,480.00 = \$13,982.00.	1,501.00	13,982.00	15,483.00		
1 FTE Senior Clerk Typist (Monthly salary = \$2313.00) Less City mandate of 5% reduction of pay until 6/30/13 = \$2197.00. Allocation Rate for Planning and Operation & Follow up = 10%. Planning stage: \$2197.00 x 10% x 3 months = \$659.00. Operation & Follow up Stage \$2197.00 x 10% x 9 months = \$1,977.00 plus (5% pay reduction lifted) \$2313.00 x 10% x 18 months = \$4,163.00. Total for Operation & Follow up Stage: \$1,977.00 + \$4,163.00 = \$6,140.00.	659.00	6,140.00	6,799.00		
1 FTE Accountant IV (Monthly salary = \$5624.00) Less City mandate of 5% reduction of pay until 6/30/13 = \$5343.00. Allocation Rate for Planning and Operation & Follow up = 5%. Planning stage: \$5343.00 x 5% x 3 months = \$801.00. Operation & Follow up Stage \$5343.00 x 5% x 9 months = \$2,404.00 plus (5% pay reduction lifted) \$5624.00 x 5% x 18 months = \$5,062.00. Total for Operation & Follow up Stage: \$2,404.00 + \$5,062.00 = \$7,466.00.	801.00	7,466.00	8,267.00		
1 FTE Accountant III (Monthly salary = \$3911.00) Less City mandate of 5% reduction of pay until 6/30/13 = \$3733.00. Allocation Rate for Planning and Operation & Follow up = 50%. Planning stage: \$3733.00 x 50% x 3 months = \$5,599.00. Operation & Follow up Stage \$3733.00 x 50% x 9 months = \$16,889.00 plus (5% pay reduction lifted) \$3911.00 x 50% x 18 months = \$35,559.00. Total for Operation & Follow up Stage: \$16,889.00 + \$35,559.00 = \$52,448.00.	5,599.00	52,448.00	58,047.00		
<b>Total Admin Salary</b>	<b>9,570.00</b>	<b>89,162.00</b>	<b>98,732.00</b>		
<b>Deputy Administrator Work/Hawaii</b> - oversees the program to ensure its compliance with federal, state, and local rules and regulations.					
<b>Planner V</b> - develops program budget and modifications to budget if required. Oversees program expenditures.					
<b>Planner III</b> - provides personnel and procurement advice; assists with the monitoring of expenditures.					
<b>Senior Clerk Typist</b> - processes legal and project documents.					
<b>Accountant IV</b> - oversees the Project's financial management system.					
<b>Accountant III</b> - processes payroll, payments for goods and services, etc.					
<b>FRINGE @ 50.83%</b>					
<b>PROGRAM FRINGE BENEFITS</b>					
1 FTE Program Coordinator	2,168.00	35,659.00	37,827.00		
1 FTE Case Manager	5,086.00	47,380.00	52,466.00		
1 FTE Case Manager	5,086.00	47,380.00	52,466.00		
1 FTE Business Developer	2,882.00	26,658.00	29,540.00		
1 FTE Clerk Typist	1,549.00	14,433.00	15,982.00		
<b>Program Fringe Total</b>	<b>15,751.00</b>	<b>171,500.00</b>	<b>187,251.00</b>		
<b>ADMINISTRATIVE FRINGE BENEFITS</b>					
1 FTE Deputy Administrator Work/Hawaii	507.00	4,723.00	5,230.00		
1 FTE Planner V	310.00	2,885.00	3,195.00		
1 FTE Planner III	763.00	7,107.00	7,870.00		
1 FTE Senior Clerk Typist	336.00	3,121.00	3,457.00		
1 FTE Accountant IV	407.00	3,785.00	4,192.00		
1 FTE Accountant III	2,545.00	23,890.00	26,435.00		
<b>Administrative Fringe Total</b>	<b>4,869.00</b>	<b>42,521.00</b>	<b>47,390.00</b>		
<b>TOTAL FRINGE</b>	<b>21,616.00</b>	<b>216,823.00</b>	<b>238,439.00</b>		
<b>TRAVEL</b>					
USDOL Conferences and Training Seminars (key staff to attend 1 national mtg and 2 regional training)		15,000.00	15,000.00		
<b>TOTAL TRAVEL</b>		<b>15,000.00</b>	<b>15,000.00</b>		
<b>SUPPLIES</b>					
Office Supplies - classification folders, pens, pencils, paper, etc.		4,000.00	4,000.00		
<b>TOTAL SUPPLIES</b>		<b>4,000.00</b>	<b>4,000.00</b>		
<b>CONTRACTS</b>					
Contractual services for program participants will be provided for: Legal Services; Gang Intervention Counseling; High School Diploma Program; Community Colleges; Substance Abuse; Peta Web Base Software; On-The-Job Training (OJT).		467,081.00	467,081.00		
<b>TOTAL CONTRACTS</b>	<b>0.00</b>	<b>467,081.00</b>	<b>467,081.00</b>		
<b>OTHER</b>					
Outreach & Recruitment - supplies, brochures, printing, and advertising	5,000.00		5,000.00		
Transportation - bus passes (\$60.00 ea. month) will enable participants to participate in program activities. 110 x \$60.00 x 6 months		52,800.00	52,800.00		
Support Services - apprenticeship fees, work clothes, required tools and materials, etc. for post-secondary education/training and job placement.		22,000.00	22,000.00		
Wages for Work Experience Service Learning: 120 hours @ \$7.25 hr. = \$870.00 x 110		95,700.00	95,700.00		
Incentives - Completion of Service Learning Projects. \$16.00 a project x 2 projects per month for 6 months x 110 participants.		21,120.00	21,120.00		
Workforce Investment Act (WIA) - Education and Training activities (Leverage funds)				25,000.00	
Staff Mileage Reimbursement - personal vehicle used to/from office and training sites	300.00	600.00	900.00		
Lease Rent - includes electricity. Allocation is based on staff space and time associated with the program.	9,918.00	89,262.00	99,180.00		
Program Monthly Cost = \$3,308.00					
Utilities - include internet cable, telephone, alarm and office maintenance. Allocation is based on staff time associated with the program. Program Monthly Cost = \$171.00.	513.00	4,617.00	5,130.00		
Rental Equipment - lease for Xerox Copier and Pitney Bowes postage machine. Allocation is based on usage for Xerox copier and Program Monthly Cost = \$152.00.	456.00	4,104.00	4,560.00		
<b>TOTAL OTHER</b>	<b>16,187.00</b>	<b>289,203.00</b>	<b>305,390.00</b>		
<b>TOTAL PROJECT BUDGET</b>	<b>80,326.00</b>	<b>1,416,674.00</b>	<b>1,500,000.00</b>	<b>25,000.00</b>	
Cost per participant is \$13,636.37. Cost is based on serving 110 participants with the proposed grant's budget of \$1,500,000.00 and accounts for each participant completing all program activities and participating in 4 months of follow-up services.					
Enrollment goal - 110					
<b>TOTAL BUDGET</b>			<b>1,500,000.00</b>		

## **PART III**

# **ASSURANCES/CERTIFICATIONS**

## ASSURANCES - NON-CONSTRUCTION PROGRAMS

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0400), Washington, DC 20503.

**PLEASE DO NOT RETURN YOUR COMPLETED FORM TO THE OFFICE OF MANAGEMENT AND BUDGET. SEND IT TO THE ADDRESS PROVIDED BY THE SPONSORING AGENCY.**

**NOTE:** Certain of these assurances may not be applicable to your project or program. If you have questions, please contact the awarding agency. Further, certain Federal awarding agencies may require applicants to certify to additional assurances. If such is the case, you will be notified.

As the duly authorized representative of the applicant, I certify that the applicant:

(1) Has the legal authority to apply for Federal Assistance, and the Institutional, managerial and financial capability (including funds sufficient to pay the non-Federal share of project cost) to ensure proper planning, management and completion of the project described in this application.

(2) Will give the awarding agency, the Comptroller General of the United States, and if appropriate, the State, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the award; and will establish a proper accounting system in accordance with generally accepted accounting standards or agency directives.

(3) Will establish safeguards to prohibit employees from using their positions for a purpose that constitutes or presents the appearance of a financial or organizational conflict of interest, or personal gain.

(4) Will initiate and complete the work within the applicable time frame after receipt of approval of the awarding agency.

(5) Will comply with the Intergovernmental Personnel Act of 1970 (42 U.S.C. 4728-4763) relating to prescribed standards for merit systems for programs funded under one of the 19 statutes or regulations specified in Appendix A of OPM's Standards for a Merit System of Personnel Administration (5 C.F.R. 900, Subpart F).

(6) Will comply with all Federal statutes relating to nondiscrimination. These include but are not limited to: (a) Title VI of the Civil Rights Act of 1964 (P.L. 88-352) which prohibits discrimination on the basis of race, color or national origin; (b) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. 1681-1683, and 1685-1686), which prohibits discrimination on the basis of sex; (c) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. 794), which prohibits discrimination on the basis of handicaps; (d) the Age Discrimination Act of 1975, as amended (42 U.S.C. 6101-6107), which prohibits discrimination on the basis of age; (e) the Drug Abuse Office and Treatment Act of 1972 (P.L. 92-255) as amended, relating to nondiscrimination on the basis of drug abuse; (f) the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (P.L. 91-616), as amended, relating to nondiscrimination on the basis of alcohol abuse or alcoholism; (g) 523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. 290 dd-3 and 290 ee-3), as amended, relating to confidentiality of alcohol and drug abuse patient records; (h) Title VIII of the Civil Rights Act of 1968 (42 U.S.C. 3601 et seq.), as amended, relating to nondiscrimination in the sale, rental or financing of housing; (i) any other nondiscrimination provisions in the statute(s) under which application for Federal assistance is being made; and (j) the requirements of any other nondiscrimination statute(s) which may apply to the application.

(7) Will comply, or has already complied, with the requirements of Titles II and III of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced or whose property is acquired as a result of Federal or federally assisted programs. These requirements apply to all interests in real property acquired for project purposes regardless of Federal participation in purchases.

(8) Will comply, as applicable, with the provisions of the Hatch Act (5 U.S.C. 1501-1508 and 7324-7328) which limit the political activities of employees whose principal employment activities are funded in whole or in part with Federal funds.

(9) Will comply, as applicable, with the provisions of the Davis-Bacon Act (40 U.S.C. 276a to 276a-7), the Copeland Act (40 U.S.C. 276c and 18 U.S.C. 874), and the Contract Work Hours and Safety Standards Act (40 U.S.C. 327-333), regarding labor standards for federally assisted construction sub-agreements.

(10) Will comply, if applicable, with Flood Insurance Purchase Requirements of Section 102(a) of the Flood Disaster Protection Act of 1973 (P.L. 93-234) which requires recipients in a special flood hazard area to participate in the program and to purchase flood insurance if the total cost of insurable construction and acquisition is \$10,000 or more.

(11) Will comply with environmental standards which may be prescribed pursuant to the following: (a) institution of environmental quality control measures under the National Environmental Policy Act of 1969 (P.L. 91-190) and Executive Order (EO) 11514; (b) notification of violating facilities pursuant to EO 11738; (c) protection of wetlands pursuant to EO 11990; (d) evaluation of flood hazards in flood plains in accordance with EO 11988; (e) assurance of project consistency with the approved State management program developed under the Coastal Zone Management Act of 1972 (16 U.S.C. 1451 et seq.); (f) conformity of Federal actions to State (Clear Air) Implementation Plans under Section 176(c) of the Clear Air Act of 1955, as amended (42 U.S.C. 7401 et seq.); (g) protection of underground sources of drinking water under the Safe Drinking Water Act of 1974, as amended, (P.L. 93-523); and (h) protection of endangered species under the Endangered Species Act of 1973, as amended, (P.L. 93-205).

(12) Will comply with the Wild and Scenic Rivers Act of 1968 (16 U.S.C. 1271 et seq.) related to protecting components or potential components of the National Wild and Scenic Rivers System.

(13) Will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. 470), EO 11593 (identification and protection of historic properties), and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. 469a.1 et seq.).

(14) Will comply with P.L. 93-348 regarding the protection of human subjects involved in research, development, and related activities supported this award of assistance.

(15) Will comply with the Laboratory Animal Welfare Act of 1966 (P.L.) 89-544, as amended, 7 U.S.C. 2131 et seq.) pertaining to the care, handling, and treatment of warm blooded animals held for research, teaching, or other activities supported by this award of assistance.

(16) Will comply with the Lead-Based Paint Poisoning Prevention Act (42 U.S.C. 4801 et seq.) which prohibits the use of lead based paint in

construction or rehabilitation of residence structures.

(17) Will cause to be performed the required financial and compliance audits in accordance with the Single Audit Act Amendments of 1996 and OMB Circular No. A-133, "Audits of States, Local Governments, and Non-Profit Organization."

(18) Will comply with all applicable requirements of all other Federal laws, executive orders, regulations and policies governing this program.

*SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL (Use of grant funds certifies acceptance of these assurances)	*TITLE _____
*APPLICANT ORGANIZATION _____	*DATE SUBMITTED (Use of grant funds certifies acceptance of these assurances)

# **Lobbying Certification (29 CFR Part 93)**

## **Instructions for Completion of SF-LLL, Disclosure of Lobbying Activities**

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal Action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a covered Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identify the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
2. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a followup report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subaward recipient. Identify the tier of the subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "Subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number, grant announcement number, the contract, grant, or loan award number, the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001."
9. For a covered Federal action where there has been an award or loan commitment by the Federal agency, enter the Federal amount of the award/loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.  
  
(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a).  
Enter Last Name, First Name, and Middle Initial (MI).
11. Enter the amount of compensation paid or reasonably expected to be paid by the reporting entity (item 4) to the lobbying entity (item 10). Indicate whether the payment has been made (actual) or will be made (planned). Check all boxes that apply. If this is a material change report, enter the cumulative amount of payment made or planned to be made.
12. Check the appropriate box (es). Check all boxes that apply. If payment is made through an in-kind contribution, specify the nature and value of the in-kind payment.
13. Check the appropriate box (es). Check all boxes that apply. If other, specify nature.
14. Provide a specific and detailed description of the services that the lobbyist has performed, or will be expected to perform, and the date(s) of any services rendered. Include all preparatory and related activity, not just time spent in actual contact with Federal officials. Identify the Federal official(s) or employee(s) contacted or the officer(s), employee(s), or Member(s) of Congress that were contacted.
15. Check whether or not a SF-LLL-A Continuation Sheet(s) is attached.
16. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046), Washington, D.C. 20503.

# DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352  
(see reverse for public burden disclosure)

<b>1. Type of Federal Action:</b> a. contract b. grant c. cooperative agreement d. loan e. loan guarantee f. loan insurance	<b>2. Status of Federal Action:</b> a. bid/offer/application b. initial award c. post-award	<b>3. Report Type:</b> a. initial filing b. material change For Material Change Only: year _____ quarter _____ date of last report _____
<b>4. Name and Address of Reporting Entity:</b> ___ Prime ___ Subawardee Tier _____, if known:   Congressional District, if known: _____	<b>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime.</b>   Congressional District, if known: _____	
<b>6. Federal Department/Agency:</b>   	<b>7. Federal Program Name/Description:</b>  CFDA Number, if applicable: _____	
<b>8. Federal Action Number, if known:</b> _____	<b>9. Award Amount, if known:</b> \$ _____	
<b>10. a. Name and Address of Lobbying Entity</b> (if individual, last name, first name, MI):   (Attach Continuation Sheet(s) SF-LLL-A, if necessary)	<b>b. Individuals Performing Services</b> (including address if different from No. 10a) (last name, first name, MI):   (Attach Continuation Sheet(s) SF-LLL-A, if necessary)	
<b>11. Amount of Payment</b> (check all that apply): ___ actual ___ planned \$ _____  <b>12. Form of Payment</b> (check all that apply): ___ a. cash ___ b. in-kind; specify: nature _____ value _____	<b>13. Type of Payment</b> (check all that apply): ___ a. retainer ___ b. one-time fee ___ c. commission ___ d. contingent fee ___ e. deferred ___ f. other, specify: _____	
<b>14. Brief Description of Services Performed or to be Performed and Date(s) of Service, including officer(s), employee(s), or Member(s) contacted, for Payment Indicated in item 11:</b>   (Attach Continuation Sheet(s) SF-LLL-A, if necessary)		
<b>15. Continuation Sheet(s) SF-LLL-A attached:</b> ___ YES ___ NO		
<b>16. Information requested through this form is authorized by title 31 U.S.C. section 1352.</b> This disclosure of lobbying activities is a material representation of fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.		Signature _____ Print Name: _____ Title: _____  Telephone Number: _____ Date: _____

**DISCLOSURE OF LOBBYING ACTIVITIES**  
**(Continuation Sheet)**

Reporting Entity:

Page



## **PART IV**

### **SPECIAL CLAUSES AND CONDITIONS**

**(Should there be any inconsistency between these Clauses/Conditions and the Awardee's proposal, these Clauses/Conditions shall govern.)**

## PART IV - SPECIAL CLAUSES

### Clause #1: BUDGET LINE ITEM FLEXIBILITY

Flexibility is allowed within the grant budget (**except wages, salaries and fringe benefits, and indirect cost rates**), provided no **single line item** is increased or decreased by more than **20%**. Changes in excess of 20% and any changes in wages, salaries and fringe benefits, and indirect cost rates **MUST** receive prior written approval from the Grant Officer.

Any changes in mix or match within the wages and salaries line **do not** require a grant modification. However, your assigned DOL Federal Project Officer (FPO) must review these changes prior to implementing these changes. Failure to obtain such prior written approval may result in cost disallowance.

### Clause #2: ADDITIONAL PROVISIONS

In performing its responsibilities under this grant agreement, the awardee hereby certifies and assures that it will fully comply with the following Provisions of the Workforce Investment Act (WIA) codified in the following Codes of Federal Regulation:

- 20 CFR 667.200, Administrative Rules, Costs and Limitations
- 20 CFR 667.260, Prohibition on Real Property
- 20 CFR 667.300, Reporting Requirements
- 20 CFR 667.410, Oversight Roles and Responsibilities
- 20 CFR 667.500 & 667.510, Resolution
- 20 CFR 667.700, Procedure to Impose Sanctions
- 29 CFR Part 37, Implementation of the Nondiscrimination and Equal Opportunity Provisions of the Workforce Investment Act of 1998 (WIA)

### Clause #3: INDIRECT COST RATE AND COST ALLOCATION PLAN

This clause is applicable to all awardees receiving funds from multiple sources. Organizations receiving funds from only one source do not need an approved indirect cost rate (ICR) or cost allocation plan (CAP).

Mark the appropriate clause for your organization and fill in the blanks, as appropriate:

- \_\_\_ A. A current approved CAP or ICR agreement dated \_\_\_\_\_ has been provided and approved by (Federal Cognizant agency-Copy Attached).

Regarding only the ICR agreement,

- a) Indirect Rate approved \_\_\_\_\_%
  - b) Type of Indirect Cost Rate (Provisional/Predetermined/Fixed) See attached ICR agreement
  - c) Allocation Base See attached ICR agreement
  - d) Current period applicable to rate See attached ICR agreement
- \_\_\_ B. No CAP or ICR agreement has been approved by a Federal Agency.

#### Note:

Regarding "B", a pro rata share of the indirect costs specified on the 424A, Section B, Object Class Category "J", has been approved for the first **90 days** of the grant period. This is based on the fact that your organization has not established an ICR agreement or approved CAP.

Within this 90-day period, you must submit an acceptable indirect cost proposal or CAP to your Federal cognizant agency<sup>1</sup> to obtain a provisional indirect rate or a CAP approval. ***Failure on your part to submit an indirect cost proposal within this 90-day period means that you shall not receive further reimbursement for your indirect costs.***

If DOL is your Federal cognizant agency, proposals shall be sent to the appropriate office in the DOL's Division of Cost Determination (see detailed list attached).

**Ceiling Indirect Amounts (applicable to A or B above):**

An Indirect Cost ceiling in the amount of \$\_\_\_\_\_, as specified on the 424A, Section B, Object Class Category "J", has been applied under this agreement based on the grantee's budget or written documentation received.

The total amount of DOL's financial obligation under this award ***will not be*** increased to reimburse awardee organizations for higher negotiated indirect cost rates than those rates or amounts identified in this clause.

**Note:**

A ceiling amount does not exclude your organization from the responsibility of submitting an indirect cost rate for approval.

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<sup>1</sup> Providing preponderance of Federal funds to the organization

**Division of Cost Determination  
List of Addresses and Telephone Numbers  
(As of March 2010)**

**National Office Address and Contact Information:  
200 Constitution Avenue, N.W., S-1510  
Washington, D.C. 20210  
(P) 202-693-4100  
(F) 202-693-4099**

**Chief: Victor M. Lopez  
E-mail address: [lopez.victor@dol.gov](mailto:lopez.victor@dol.gov)  
(P) 202-693-4106**

	<b>Cost Negotiators</b>	<b>E-mail Address</b>	<b>Location/Region</b>	<b>Address</b>	<b>Phone/FAX</b>
1	Damon Tomchick	<a href="mailto:tomchick.damon@dol.gov">tomchick.damon@dol.gov</a>	D.C.	Same as National Office	(P) 202-693-4105 (F) 202-693-4099
2	Casey Carros	<a href="mailto:carros.casimer@dol.gov">carros.casimer@dol.gov</a>	D.C.	Same as National Office	(P) 202-693-4107 (F) 202-693-4099
3	Margie Merced	<a href="mailto:merced.margie@dol.gov">merced.margie@dol.gov</a>	D.C.	Same as National Office	(P) 202-693-4104 (F) 202-693-4099
4	Stephen Cosminski	<a href="mailto:cosminski.stephen@dol.gov">cosminski.stephen@dol.gov</a>	Philadelphia	125 Oak Drive Sellersville, PA 18960	(P) 215-257-8712 (F) 215-257-8994
5	Ronald Goolsby	<a href="mailto:goolsby.ronald@dol.gov">goolsby.ronald@dol.gov</a>	Chicago	230 South Dearborn St. Room 1016 Chicago, IL 60604-1505	(P) 312-886-5247 (F) 312-353-0704
6	Carol McKone	<a href="mailto:mckone.carol@dol.gov">mckone.carol@dol.gov</a>	Dallas	P.O. Box 821067 Ft. Worth, TX 76182	(P) 817-281-1503 (F) 817-281-1530
7	Arthur Campbell	<a href="mailto:campbell.arthur@dol.gov">campbell.arthur@dol.gov</a>	Seattle	P.O. Box 3433 Renton, WA 98056	(P) 425-271-3848 (F) 425-271-5295

\* Cost Negotiators are generally responsible for organizations located in their regions, as follows:

**Washington D.C. [National Office]:** *Washington D.C. metro area and Atlanta Region (Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee).*

**Philadelphia Region:** *Connecticut, Delaware, Maine, Maryland, Massachusetts, New Jersey, New Hampshire, New York, Pennsylvania, Puerto Rico, Rhode Island, Vermont,, Virginia, Virgin Islands, and West Virginia.*

**Chicago Region:** *Illinois, Indiana, Iowa, Kansas, Michigan, Minnesota, Missouri, Nebraska, North Dakota, Ohio, South Dakota, and Wisconsin.*

**Dallas Region:** *Arkansas, Colorado, Kentucky, Louisiana, Nevada, New Mexico, Oklahoma, Texas, and Wyoming.*

**Seattle Region:** *Alaska, California, Hawaii, Idaho, Montana, Oregon, Utah, and Washington.*

## THIS GRANT IS SUBJECT TO:

### Part 170

#### Appendix A to Part 170--Award Term

##### I. Reporting Subawards and Executive Compensation.

###### a. Reporting of first-tier subawards.

1. Applicability. Unless you are exempt as provided in paragraph d. of this award term, you must report each action that obligates \$25,000 or more in Federal funds that does not include Recovery funds (as defined in section 1512(a)(2) of the American Recovery and Reinvestment Act of 2009, Pub. L. 111-5) for a subaward to an entity (see definitions in paragraph e. of this award term).

###### 2. Where and when to report.

i. You must report each obligating action described in paragraph a.1. of this award term to <http://www.fsrs.gov>.

ii. For subaward information, report no later than the end of the month following the month in which the obligation was made. (For example, if the obligation was made on November 7, 2010, the obligation must be reported by no later than December 31, 2010.)

###### 3. What to report. You must report the information about each obligating action that the submission instructions posted at <http://www.fsrs.gov> specify.

###### b. Reporting Total Compensation of Recipient Executives.

1. Applicability and what to report. You must report total compensation for each of your five most highly compensated executives for the preceding completed fiscal year, if--

i. the total Federal funding authorized to date under this award is \$25,000 or more;

ii. in the preceding fiscal year, you received--

(A) 80 percent or more of your annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

iii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

2. Where and when to report. You must report executive total compensation described in paragraph b.1. of this award term:

i. As part of your registration profile at <http://www.ccr.gov>.

ii. By the end of the month following the month in which this award is made, and annually thereafter.

###### c. Reporting of Total Compensation of Subrecipient Executives.

1. Applicability and what to report. Unless you are exempt as provided in paragraph d. of this award term, for each first-tier subrecipient under this award, you shall report the names and total compensation of each of the subrecipient's five most highly compensated executives for the subrecipient's preceding completed fiscal year, if--

i. in the subrecipient's preceding fiscal year, the subrecipient received--

(A) 80 percent or more of its annual gross revenues from Federal procurement contracts (and subcontracts) and Federal financial assistance subject to the Transparency Act, as defined at 2 CFR 170.320 (and subawards); and

(B) \$25,000,000 or more in annual gross revenues from Federal procurement contracts (and subcontracts), and Federal financial assistance subject to the Transparency Act (and subawards); and

ii. The public does not have access to information about the compensation of the executives through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. (To determine if the public has access to the compensation information, see the U.S. Security and Exchange Commission total compensation filings at <http://www.sec.gov/answers/execomp.htm>.)

2. Where and when to report. You must report subrecipient executive total compensation described in paragraph c.1. of this award term:

i. To the recipient.

ii. By the end of the month following the month during which you make the subaward. For example, if a subaward is obligated on any date during the month of October of a given year (i.e., between October 1 and 31), you must report any required compensation information of the subrecipient by November 30 of that year.

###### d. Exemptions

If, in the previous tax year, you had gross income, from all sources, under \$300,000, you are exempt from the requirements to report:

i. Subawards, and

ii. The total compensation of the five most highly compensated executives of any subrecipient.

###### e. Definitions. For purposes of this award term:

1. Entity means all of the following, as defined in 2 CFR part 25:

i. A Governmental organization, which is a State, local government, or Indian tribe;

ii. A foreign public entity;

iii. A domestic or foreign nonprofit organization;

iv. A domestic or foreign for-profit organization;

v. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.

2. Executive means officers, managing partners, or any other employees in management positions.

###### 3. Subaward:

i. This term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the recipient award to an eligible subrecipient.

ii. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. 2.10 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").

iii. A subaward may be provided through any legal agreement, including an agreement that you or a subrecipient considers a contract.

###### 4. Subrecipient means an entity that:

i. Receives a subaward from you (the recipient) under this award; and

ii. Is accountable to you for the use of the Federal funds provided by the subaward.

5. Total compensation means the cash and noncash dollar value earned by the executive during the recipient's or subrecipient's preceding fiscal year and includes the following (for more information see 17 CFR 229.402(c)(2)):

i. Salary and bonus.

ii. Awards of stock, stock options, and stock appreciation rights. Use the dollar amount recognized for financial statement reporting purposes with respect to the fiscal year in accordance with the Statement of Financial Accounting Standards No. 123 (Revised 2004) (FAS 123R), Shared Based Payments.

iii. Earnings for services under non-equity incentive plans. This does not include group life, health, hospitalization or medical reimbursement plans that do not discriminate in favor of executives, and are available generally to all salaried employees.

iv. Change in pension value. This is the change in present value of defined benefit and actuarial pension plans.

v. Above-market earnings on deferred compensation which is not tax-qualified.

vi. Other compensation, if the aggregate value of all such other compensation (e.g. severance, termination payments, value of life insurance paid on behalf of the employee, perquisites or property) for the year exceeds \$10,000.

## THIS GRANT IS SUBJECT TO:

### 2 Subtitle A, Chapter I and Part 25

#### Appendix A to Part 25--Award Term

#### I. Central Contractor Registration and Universal Identifier Requirements

##### A. Requirement for Central Contractor Registration (CCR)

Unless you are exempted from this requirement under 2 CFR 25.110, you as the recipient must maintain the currency of your information in the CCR until you submit the final financial report required under this award or receive the final payment, whichever is later. This requires that you review and update the information at least annually after the initial registration, and more frequently if required by changes in your information or another award term.

##### B. Requirement for Data Universal Numbering System (DUNS) Numbers

If you are authorized to make subawards under this award, you:

1. Must notify potential subrecipients that no entity (see definition in paragraph C of this award term) may receive a subaward from you unless the entity has provided its DUNS number to you.
2. May not make a subaward to an entity unless the entity has provided its DUNS number to you.

##### C. Definitions

For purposes of this award term:

1. Central Contractor Registration (CCR) means the Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at <http://www.ccr.gov>).
2. Data Universal Numbering System (DUNS) number means the nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by telephone (currently 866-705-5711) or the Internet (currently at <http://fedgov.dnb.com/webform>).
3. Entity, as it is used in this award term, means all of the following, as defined at 2 CFR part 25, subpart C:
  - a. A Governmental organization, which is a State, local government, or Indian Tribe;
  - b. A foreign public entity;
  - c. A domestic or foreign nonprofit organization;
  - d. A domestic or foreign for-profit organization; and
  - e. A Federal agency, but only as a subrecipient under an award or subaward to a non-Federal entity.
4. Subaward:
  - a. The term means a legal instrument to provide support for the performance of any portion of the substantive project or program for which you received this award and that you as the awarding agency award to an eligible subrecipient.
  - b. The term does not include your procurement of property and services needed to carry out the project or program (for further explanation, see Sec. ----.210 of the attachment to OMB Circular A-133, "Audits of States, Local Governments, and Non-Profit Organizations").
  - c. A subaward may be provided through any legal agreement, including an agreement that you consider a contract.
5. Subrecipient means an entity that:
  - a. Receives a subaward from you under this award; and
  - b. Is accountable to you for the use of the Federal funds provided by the subaward.

## THIS GRANT IS SUBJECT TO:

### Handling Data Including Personally Identifiable Information

Proposals received in response to this SGA must recognize that confidentiality of sensitive data is of paramount importance to the Department of Labor and must be observed except where disclosure is allowed by the prior written approval of the Grant Officer or by court order. By submitting a proposal, Grantees are assuring that all data exchanges conducted through or during the course of performance of this grant will be conducted in a manner consistent with applicable Federal law. All such activity conducted by ETA and/or Grantee/s will be performed in a manner consistent with applicable state and Federal laws.

By submitting your application, your organization agrees to take all necessary steps to protect such confidentiality by complying with the following provisions that are applicable in governing their handling of confidential information:

1. Grantees shall not extract information from data supplied by DOL/ETA for any purpose not stated in the SGA.
2. Grantees shall retain data received from DOL/ETA only for the period of time required to utilize it for assessment and other purposes, or to satisfy applicable Federal records retention requirements, if any. Thereafter, the Grantee agrees that all data will be destroyed, including the degaussing of magnetic tape files and permanent deletion of electronic data.
3. Grantees shall ensure that any information used during the performance of this Grant has been obtained and is being transmitted in conformity with applicable Federal and state laws governing the confidentiality of information. Information transmitted to DOL/ETA containing sensitive information, including personally identifiable information (PII), must be encrypted using National Institute of Standards and Technology (NIST) Federal Information Processing Standards (FIPS) 140-2 validated products. The encrypted information must be encrypted in a form that would allow the receiver of the information to decrypt the information without installing additional software or tools.
4. Access to any information created by DOL/ETA shall be restricted to only those employees of the Grant recipient who need it in their official capacity to perform duties in connection with the Scope of Work outlined in this SGA.
5. Grantee employees and other personnel who will have access to sensitive/confidential/proprietary/private data shall be advised of the confidential nature of the information, the safeguards required to protect the information, and the civil and criminal sanctions for noncompliance with such safeguards that are contained in Federal and state laws.
6. Prior to being able to have access to confidential data, Grantee employees and other personnel shall execute a standard document acknowledging their understanding of the confidential nature of the data and the safeguards with which they must comply in their handling of such data as well as the fact that they may be liable to civil and criminal sanctions for improper disclosure.
7. Grantees further acknowledge that all data obtained through DOL/ETA shall be stored in an area that is physically safe from access by unauthorized persons at all times and the data will be processed using grantee-issued equipment, managed information technology (IT) services, and designated locations approved by DOL/ETA. Accessing, processing, and storing of DOL/ETA data on personally owned equipment, at off-site locations (e.g., employee's home), and non-Grantee-managed IT services (e.g., Yahoo mail), is strictly prohibited unless approved by DOL/ETA.
8. All data shall be processed in a manner that will protect the confidentiality of the records/documents and is designed to prevent unauthorized persons from retrieving such records by computer, remote terminal, or any other means. Data may be downloaded to, or maintained on, mobile or portable devices only if the data are encrypted using NIST FIPS 140-2 validated products. In addition, wage data may only be accessed from secure locations.
9. Data obtained by the Grantee through a request shall not be disclosed to third parties except as permitted by the Grant Officer.
10. Grantees shall permit ETA to make onsite inspections during regular business hours for the purpose of conducting audits and/or to conduct other investigations to assure that the Grantee is complying with the confidentiality requirements described above. In accordance with this responsibility, Grantees shall make records applicable to this Agreement available to authorized persons for the purpose of inspection, review, and/or audit.
11. Grantees shall take the steps necessary to ensure the privacy of all PII obtained from participants and/or other individuals and to protect such information from disclosure to unauthorized individuals. Grantees shall maintain such PII in accordance with the DOL/ETA standards for information security provided herein, including any updates to such standards provided to the Grantee by DOL/ETA. Grantees shall report immediately to the DOL ETA Information Security Officer (ISO) any suspected or confirmed breaches or compromise of PII obtained from participants and/or other individuals.

## PART IV - SPECIAL CONDITIONS

1. **Federal Project Officer:** The DOL/ETA Federal Project Officer (FPO) for this grant/agreement is:

Name: Richard Morris  
Address: U.S. Department of Labor/ETA  
200 Constitution Avenue, N.W., Room N-4511  
Washington, D.C. 20210

Telephone: 202.693.3603  
E-mail: morris.richard@dol.gov

The FPO is not authorized to change any of the terms or conditions of the grant/agreement. Such changes, if any, will be accomplished by the Grant Officer by the use of a properly executed grant/agreement modification.

2. **Equipment:** Awardees must receive **prior approval** from the DOL/ETA **Grant Officer** for the purchase and/or lease of any equipment with a **per unit acquisition cost of \$5,000 or more, and a useful life of more than one year**. This includes the purchases of ADP equipment. The grant award does not give approval for equipment even if it is specified in a grantee's statement of work unless specifically approved in the grant award execution letter by the Grant Officer. If not, the awardee must submit a detailed description list to the FPO for review within 30 days of the grant/agreement award date. Failure to do so will necessitate the need for approval of equipment purchase on an individual basis.
3. **Program Income:** The awardee is authorized to utilize the addition method if any **Program Income** is generated throughout the duration of this grant/ agreement. The awardee is allowed to deduct costs incidental to generating Program Income to arrive at a net Program Income [29 CFR Part 95.24(c) or 29 CFR Part 97.25(c)(g)(2)].
4. **Pre-Award:** The awardee hereby agrees that all costs incurred by the awardee prior to the start date specified in the grant agreement issued by the Department are **incurred at the awardee's own expense**.
5. **Reports:** All ETA grantees are required to submit quarterly financial and narrative progress reports for each grant award.
- A. **Quarterly Financial Reports.** Pursuant to Training and Employment Notice (TEN) 12-07, all ETA grantees are required to report quarterly financial data on the ETA 9130, no later than 45 days after the end of each reporting quarter. Reporting quarter end dates are June 30, September 30, December 31, and March 31.
1. The previously used Standard Form 269 is no longer accepted by ETA. The ETA on-line reporting system has been modified to accommodate the ETA 9130 required data elements, which includes a new Federal cash section. Expenditures are required to be reported on an accrual basis, cumulative from the beginning of the life of a grant, through the end of each reporting period.
  2. The instructions for accessing both the on-line financial reporting system and the HHS Payment Management System can be found in the transmittal memo accompanying this grant award document. Copies of the ETA 9130 and detailed reporting instructions are available at [www.doleta.gov/grants/financial\\_reporting.cfm](http://www.doleta.gov/grants/financial_reporting.cfm).



B. **Quarterly Narrative Progress Reports.** Grantees are required to submit a brief narrative quarterly and final report to the designated Federal Project Officer (FPO) on grant activities funded under this agreement. All reports are due no later than 45 days after the end of each reporting quarter. Reporting quarter end dates are June 30, September 30, December 31, and March 31.

1. The last quarterly progress report that grantees submit will serve as the grant's Final Performance Report. This report should provide both **quarterly and cumulative** information on the grant's activities. It must summarize project activities, employment outcomes and other deliverables, and related results of the project.
2. The awardee shall use any standard forms and instructions to report on training and employment outcomes and other data relating to the progress reports as provided by ETA.
3. The awardee shall utilize standard reporting processes and electronic reporting systems to submit their quarterly progress reports as provided by ETA.

6. **Consults:** **Consultant** fees paid under this grant/agreement shall be limited to \$585 per day without additional DOL Grant Officer approval.

7. **Rebates:** The awardee agrees to advise the Grant Officer, in writing, of any **forthcoming** income resulting from lease/rental rebates or other rebates, interest, credits or any other monies or financial benefits to be received directly or indirectly as a result of or generated by these award dollars. Appropriate action must be taken to ensure that the Government is reimbursed proportionally from such income.

8. **Publicity:** No funds provided under this grant shall be used for publicity or propaganda purposes, for the preparation, distribution or use of any kit, pamphlet, booklet, publication, radio, television or film presentation designed to support or defeat legislation pending before the Congress, except in presentation to the Congress itself. Nor shall grant funds be used to pay the salary or expenses of any grant or agreement awardee or agent acting for such awardee, related to any activity designed to influence legislation or appropriations pending before the Congress.

9. **Public Announcements:** When issuing statements, press releases, requests for proposals, bid solicitation, and other documents describing project or programs funded in whole or in part with Federal money, **all awardees** receiving Federal funds, shall clearly state (1) the percentage of the total cost of the program or project which will be financed with Federal money, and (2) the dollar amount of Federal funds for the project or program.

10. **Executive Order 12928:** In compliance with Executive Order 12928, the Grantee is strongly encouraged to provide subcontracting/subgranting opportunities to Historically Black Colleges and Universities and other Minority Institutions such as Hispanic-Serving Institutions and Tribal Colleges and Universities; and to Small Businesses Owned and Controlled by Socially and Economically Disadvantaged Individuals.

11. **Procurement:** Except as specifically provided, DOL/ETA acceptance of a proposal and an award of federal funds to sponsor any program(s) **does not** provide a waiver of any grant requirements and/or procedures. For example, the OMB circulars require an entity's procurement procedures must conduct, as practical, **all procurement transactions** to provide open and free competition. If a proposal identifies a specific entity to provide the services, the DOL/ETA's award **does not** provide the justification or basis to sole-source the procurement, i.e., avoid competition.

- 12. Veteran's Priority Provisions:** The Jobs for Veterans Act (Public Law 107-288) requires grantees to provide priority of service to veterans and spouses of certain veterans for the receipt of employment, training, and placement services in any job training program directly funded, in whole or in part, by DOL. The regulations implementing this priority of service can be found at 20 CFR part 1010. In circumstances where a grant recipient must choose between two qualified candidates for a service, one of whom is a veteran or eligible spouse, the veterans priority of service provisions require that the grant recipient give the veteran or eligible spouse priority of service by first providing him or her that service. To obtain priority of service, a veteran or spouse must meet the program's eligibility requirements. Grantees must comply with DOL guidance on veterans' priority. ETA's Training and Employment Guidance Letter (TEGL) No. 10-09 (issued November 10, 2009) provides guidance on implementing priority of service for veterans and eligible spouses in all qualified job training programs funded in whole or in part by DOL. TEGL No. 10-09 is available at [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2816](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2816).
- 13. Audits:** The awardee agrees to comply with the required financial and compliance audits in accordance with the Single Audit Act of 1984.
- 14. Salary and Bonus Limitations:** Under Public Law 109-234 and Public Law 111-8, Section 111, none of the funds appropriated in Public Law 111-5 or prior Acts under the heading "Employment and Training" that are available for expenditure on or after June 15, 2006, shall be used by a recipient or sub-recipient of such funds to pay the salary and bonuses of an individual, either as direct costs or indirect costs, at a rate in excess of Executive Level II. These limitations also apply to grants funded under this SGA. The salary and bonus limitation does not apply to vendors providing goods and services as defined in OMB Circular A-133. See Training and Employment Guidance Letter No. 5-06 for further clarification, available at [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2262](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2262).
- 15. Intellectual Property Rights:** The Federal Government reserves a paid-up, nonexclusive and irrevocable license to reproduce, publish or otherwise use, and to authorize others to use for federal purposes: i) the copyright in all products developed under the grant, including a subgrant or contract under the grant or subgrant; and ii) any rights of copyright to which the grantee, subgrantee or a contractor purchases ownership under an award (including but not limited to curricula, training models, technical assistance products, and any related materials). Such uses include, but are not limited to, the right to modify and distribute such products worldwide by any means, electronically or otherwise. Federal funds may not be used to pay any royalty or licensing fee associated with such copyrighted material, although they may be used to pay costs for obtaining a copy which are limited to the developer/seller costs of copying and shipping. If revenues are generated through selling products developed with grant funds, including intellectual property, these revenues are program income. Program income is added to the grant and must be expended for allowable grant activities.

If applicable, the following needs to be on all products developed in whole or in part with grant funds:

"This workforce solution was funded by a grant awarded by the U.S. Department of Labor's Employment and Training Administration. The solution was created by the grantee and does not necessarily reflect the official position of the U.S. Department of Labor. The Department of Labor makes no guarantees, warranties, or assurances of any kind, express or implied, with respect to such information, including any information on linked sites and including, but not limited to, accuracy of the information or its completeness, timeliness, usefulness, adequacy, continued availability, or ownership. This solution is copyrighted by the institution that created it. Internal use, by an organization and/or personal use by an individual for non-commercial purposes, is permissible. All other uses require the prior authorization of the copyright owner."

- 16. Evaluation, Data, and Implementation:** The grantee agrees to cooperate with the U.S. Department of Labor (USDOL) in the conduct of a third-party evaluation, including providing to USDOL or its authorized contractor appropriate data and access to program operating personnel and participants in a timely manner.

17. **ACORN Prohibition:** Section 511 of the Consolidated Appropriations Act, 2010 (P.L. 111-117, Division E) (CAA), requires that no direct or indirect funding from the CAA may be provided to the Association of Community Organizations for Reform Now (ACORN) or any of its subsidiaries through Federal grantees or contractors. DOL is required to take steps so that no Federal funds from the CAA are awarded or obligated by DOL grantees or contractors to ACORN or its subsidiaries as subgrantees, subcontractors, or other subrecipients. This prohibition applies not only to a direct recipient of Federal funds, but also to a subrecipient (e.g., a subcontractor, subgrantee, or contractor of a grantee).

Training and Employment Guidance Letter (TEGL) No. 8-09, Change 1 provides detailed guidance concerning this prohibition. The TEGL can be found on ETA's website at [http://wdr.doleta.gov/directives/corr\\_doc.cfm?DOCN=2960](http://wdr.doleta.gov/directives/corr_doc.cfm?DOCN=2960). If you have any additional questions, please contact your Grant Officer.

18. **Age Discrimination Act of 1975:** The Age Discrimination Act of 1975, 42 U.S.C. 6101 *et seq.*, prohibits discrimination on the basis of age in any program or activity receiving Federal financial assistance.
19. **Flood Insurance:** The Flood Disaster Protection Act of 1973, as amended, 42 U.S.C. 4001 *et seq.*, provides that no Federal financial assistance to acquire, modernize, or construct property may be provided in identified flood-prone communities in the United States, unless the community participates in the National Flood Insurance Program and flood insurance is purchased within 1 year of the identification. The flood insurance purchase requirement applies to both public and private applicants for HHS support. Lists of flood-prone areas that are eligible for flood insurance are published in the *Federal Register* by FEMA.
20. **Architectural Barriers:** The Architectural Barriers Act of 1968, 42 U.S.C. 4151 *et seq.*, as amended, the Federal Property Management Regulations (see 41 CFR 102-76), and the Uniform Federal Accessibility Standards issued by GSA (see 36 CFR 1191, Appendixes C and D) set forth requirements to make facilities accessible to, and usable by, the physically handicapped and include minimum design standards. All new facilities designed or constructed with grant support must comply with these requirements.
21. **Drug-Free Workplace:** The Drug-Free Workplace Act of 1988, 42 U.S.C. 701 *et seq.*, requires that all organizations receiving grants from any Federal agency agree to maintain a drug-free workplace. The recipient must notify the awarding office if an employee of the recipient is convicted of violating a criminal drug statute. Failure to comply with these requirements may be cause for debarment.
22. **Limited English Proficiency:** Recipients of Federal financial assistance must take reasonable steps to ensure that people with limited English proficiency have meaningful access to health and social services and that there is effective communication between the service provider and individuals with limited English proficiency. Recipients should determine their responsibilities to individuals with limited English proficiency under Title VI of the Civil Rights Act of 1964.
23. **Seat Belts:** Pursuant to EO 13043 (April 16, 1997), Increasing the Use of Seat Belts in the United States, recipients are encouraged to adopt and enforce on-the-job seat belt policies and programs for their employees when operating vehicles, whether organizationally owned or rented or personally owned.
24. **Executive Order 13513:** Sec. 4. Text Messaging While Driving by Government Contractors, Subcontractors, and Recipients and Subrecipients. Each Federal agency, in procurement contracts, grants, and cooperative agreements, and other grants to the extent authorized by applicable statutory authority, entered into after the date of this order, shall encourage contractors, subcontractors, and recipients and subrecipients to adopt and enforce policies that ban text messaging while driving company-owned or -rented vehicles or GOV, or while driving POV when on official Government business or when performing any work for or on behalf of the

Government. Agencies should also encourage Federal contractors, subcontractors, and grant recipients and subrecipients as described in this section to conduct initiatives of the type described in section 3(a) of this order.

- 25. Executive Order 13333:** This agreement may be terminated without penalty, if the grantee or any subgrantee, or the contractor or any subcontractor (i) engages in severe forms of trafficking in persons or has procured a commercial sex act during the period of time that the grant, contract, or cooperative agreement is in effect, or (ii) uses forced labor in the performance of the grant, contract, or cooperative agreement." (22 U.S.C. § 7104(g))

## **26. SPECIAL REQUIREMENTS FOR CONFERENCES AND CONFERENCE SPACE**

The Department of Labor has instituted a policy that requires its staff to hold meetings in its U.S. Department of Labor buildings, such as the Frances Perkins Building, BLS Postal Square Building or another GSA-controlled space in the Metropolitan Washington area. In the event a meeting is to be held under the terms of the grant, the grantee is responsible to research the availability of federal space and when suitable federal space is located, arrange for the space be reserved, or contact the FPO to arrange for the space to be reserved in the event that the federal agency requires a federal staff person reserve conference space through:

FPB Conference Room Reservations: 202-693-7773

Postal Square Building (BLS) Reservations: 202-691-6630 (30 day advance notice) or email to [conference\\_help@bls.gov](mailto:conference_help@bls.gov).

The U.S. Department of Labor has implemented a Government-wide policy regarding standardized procedures for the pre-clearance of conferences and conference attendance. The FPO is responsible for obtaining Departmental clearance before the Grantee incurs expenses for any conference or meeting. However, no request for pre-clearance is required for any meetings or conferences that are being planned and convened by the grantee or as part of the implementation of this grant, that do not include more than five Department of Labor Federal employees. If the Grantee plans to have any such meetings or conferences that will require the attendance of more than five Department of Labor Federal employee attendees, pre-clearance of that meeting or conference is required, and should be coordinated with the FPO.

When these facilities are unavailable or inadequate to meet the requirements of the grant, the grantee shall provide information to support a justification using the formats specified below. The grantee shall document an analysis that includes a list of federal spaces contacted in indicating the reason space was not adequate/available. To support the recommendation of commercial spaces, the grantee shall include three estimates from commercial sources to show evidence that the grantee located the most economical venue for the meeting/conference space.

In situations where DOL space or other federal space is not available or inadequate to meet the needs of the grant requirement, the Grantee shall document the analysis that includes a list of federal spaces contacted in indicating the reason space was not adequate/available. To support the recommendation of commercial spaces, the grantee shall include three estimates from commercial sources to show evidence that the grantee located the most economical venue for the meeting/conference space.

Timeline - when arranging a meeting, the grantee shall submit a timeline for the meeting which includes:

- identification of the locale
- timeline to contact federal facilities determine availability
- timeline to contact contractor facilities and establish estimated costs in the event a commercial venue is required, fill in the attached justification (found on the next page of your grant agreement). The timeline for approval should be two weeks.

**Signing this award agreement, or the expenditure of grant funds, certifies that your organization has read and will comply with all parts of this grant agreement.**

**EMPLOYMENT AND TRAINING ADMINISTRATION  
CONFERENCE/MEETING CLEARANCE REQUEST FORM**

Please fill out the following clearance request form in full and email it to the Federal Project Officer for this grant or cooperative agreement. In the e-mail, please attach electronically (both PDF and Word format) any further expense information or documentation in support of the conference request, as well as a copy of the required memorandum from the agency head requesting agency participation in the conference. Finally, please attach your agency's conference meeting plan.

**DATE OF REQUEST:** \_\_\_\_\_

**REQUESTED BY:**

Government Federal Project Officer's name

**SPONSORING OFFICE:**

Employment and Training Administration (ETA) and Office Name

**CO-SPONSORING OFFICE/ORGANIZATION:**

If Applicable, this section is usually completed by the ETA FPO.

**CONFERENCE TITLE:**

**CONFERENCE DATE(S):**

**PURPOSE AND OBJECTIVE(S):**

(Describe the purpose of the conference, justify, and certify that sponsorship of this conference is important to the program mission.)